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U. S. Department of Justice
Law Enforcement Assistance Administration
Office of Juvenile Justice and Delinquency Prevention

Deinstitutionalization of Status Offenders

A Program Planning Guide

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A PROGRAM PLANNING GUIDE

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- - - Alicia Rooney Yowell

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FOREWORD

On September 7, 1974, President Ford signed into law the Juvenile Justice and Delinquency Prevention Act of 1974. A key provision of the Act is that participating states can no longer hold status offenders in detention and correctional facilities.

Complying with this mandate has not been easy. State and regional planners have been faced with a combination of state laws and practices in conflict with the federal deinstitutionalization mandate, a lack of service alternatives or a system of fragmented services, and most of all, the same underlying resistance to change within the juvenile justice system as you would expect to find in any human system. Moreover, adequate monitoring systems have not been established to measure the degree to which deinstitutionalization is being achieved.

In order to be responsive to these problems, the Office of Juvenile Justice and Delinquency Prevention commissioned the National Office for Social Responsibility (NOSR) to develop a series of manuals. These manuals are designed to assist juvenile justice planners in State Planning Agencies (SPAs) in planning, implementing and monitoring the deinstitutionalization of status offenders in their jurisdictions. The subjects of the manuals include:

- *Mobilizing Interest Groups*
- *Planning for the Deinstitutionalization of Status Offenders*
- *Integrating Funding for Community-based Services*
- *Client Tracking*
- *Services Resource Directory (A Catalog of Innovative Service Models); and*
- *Monitoring*

This manual -- "Planning for the Deinstitutionalization of Status Offenders" -- describes the step-by-step approach planners should undertake for achieving DSO (deinstitutionalization of status offenders) in their areas. The planning approach, from goal statement and needs assessment through program implementation and evaluation is discussed in detail. The manual is presented on a modular basis to be useful at any stage of the planning process. For example, if a needs assessment has already been done in a state, then the information in the manual concerning program design and implementation should be helpful as a next step. The planner, however, should read this manual in its entirety in order to assure than an important task was not overlooked during the previous planning stage(s).

This manual's orientation is of a practical nature. Sample forms that a planner may need at the various stages in the planning process are included (e.g., needs assessment instruments, request for proposal formats, and purchase-of-service contracts). Also included are milestone charts and activity sheets to use as a guide for each planning stage. These forms outline the tasks that must be accomplished during each planning stage, and can be used to control the assignment of responsibility and assess overall progress during each of the planning stages.

Attached as Appendix A are the definitions of terms which relate to the special requirements for participating in funding under the JJDP Act. These definitions are essential to the planner as they provide guides to the available options a state has for placing status offenders in a facility.

Although the focus of this manual is on planning for the deinstitutionalization of status offenders and has been written for the SPA and RPU planner, the planning approach discussed is widely applicable and should be a helpful tool for anyone involved in human services planning.

SECTION I: BACKGROUND TO THE PROBLEM

Nearly forty percent, or one half million youth brought before the juvenile justice system each year have committed no criminal action in adult terms. Those youth should no longer be placed in juvenile detention or correctional facilities, but must be placed in shelter facilities.

The current state of knowledge on the status offender population suggests that there is little difference between the status offender and the delinquent. This, however, may be more a function of legal versus behavioral labeling process.

BACKGROUND TO THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974

The Juvenile Justice and Delinquency Prevention Act of 1974 (JJDP Act) arose out of a concern for rising juvenile crime and the inadequacies of the existing federal delinquency programs. The Act addresses this concern by encouraging states to provide services to youth to prevent delinquency, to direct juveniles away from involvement in the juvenile justice system, and to provide community-based alternatives to the more traditional juvenile detention and correctional facilities.

During the hearings on the JJDP Act, Congress became increasingly aware of the many problems facing the juvenile justice system: insufficient or fragmented services; overcrowded and understaffed juvenile court systems, probation services, and training schools; and the ever increasing number of serious juvenile offenders. Congress also became aware of the number of non-criminal offenders who were involved in the juvenile justice system -- persons such as those considered dependent or neglected and status offenders. They also became aware of the negative effects this involvement had upon these youth. According to one estimate given during the hearings, nearly forty percent, or one half million youths, brought before the Juvenile Justice System each year had committed no criminal action in adult terms.[1] Subsequent to the hearings, the Law Enforcement Assistance Administration (LEAA) completed studies which estimated that twenty-five percent of all cases filed in juvenile courts are status offense charges. Of those status offenders referred to court, ten percent are placed in secure detention and those youth spend as much time or more in secure facilities as criminal type offenders.[2] Between thirty and fifty percent of those youths detained before, during, or after trial are status offenders. Approximately forty percent of youths in jails have committed only status offenses.[3] The situation is worse for females than for males. Seventy percent of all females placed in detention and correctional facilities were placed there on status offense charges as compared to twenty percent of the males.[4]

One of the issues brought out during the JJDP Act hearings involved the negative labeling that occurs once a status offender is associated with the juvenile justice system. According to labeling theory, once a youth is identified and labeled a status offender, certain sanctions are imposed and negative assumptions are made. These sanctions and negative assumptions tend to convince the status offender that he or she is deviant and different. This labeling process is also often carried over to other agencies such as the police and schools which tend to lower their tolerance for youth who have been singled out by the court.

Once the identification and labeling process occurs, these agencies are more apt to refer those youth to court for behavior which would result only in a reprimand for a non-labeled youth. As this labeling process continues, the youth can become increasingly convinced that he or she is abnormal. If unacceptable behavior continues, the status offender penetrates the juvenile justice system further, thus becoming more removed from the normal community socialization process. Again a negative self-concept is reinforced which can further serve to encourage anti-social behavior.[5]

The practice of mingling the non-criminal youth with criminal-type offenders was another concern of Congress. The incarceration of the status offender with juvenile criminal-type offenders is thought to increase the likelihood that the status offender will become involved in criminal actions.[6]

THE LEGISLATIVE MANDATE

For these and other reasons, Congress became concerned about institutionalization of status offenders. In passing the JJDP Act, Congress stipulated that states participating in the Act must deinstitutionalize all status offenders within two years of a state's submission of its first annual plan to the Office of Juvenile Justice and Delinquency Prevention (OJJDP), for approval. This legislative mandate states, in part, that:

> Juveniles who are charged with or who have committed offenses that would not be criminal if committed by an adult, shall not be placed in juvenile detention or correctional facilities, but must be placed in shelter facilities.

Although Congress initially established a two-year timetable for compliance with the deinstitutionalization requirement by those states which requested JJDP Act Formula Grant Funds, the 1977 amendments to the Act have extended the deadline to three years. If seventy-five percent compliance is reached within this three-year time period, an additional two years will be allowed for states to achieve full compliance.

IS THERE A DIFFERENCE BETWEEN STATUS OFFENDERS, AND CRIMINAL-TYPE OFFENDERS?

The legal definition of a status offender is relatively simple: a status offender is a juvenile who has engaged in conduct that would not be criminal if committed by an adult but is legally not permissible for a youngster. However, the actual practices of the juvenile justice system and the problems exemplified by a youth legally labeled as a "status offender" are far more complex than the definition suggests.

Research has been scarce in comparing the behavioral make-up (or even the criminal backgrounds) of youth adjudicated as either criminal-type offenders or status offenders. Most of the research that has been done in this area shows no significant differences between the two. A New York survey concluded that status offenders were not "normal" youth and exemplified a variety of severe behavioral problems. The study found frequent diagnosis of "personality disorder," "schizophrenia," and "unsocialized aggressive personality" among the 316 status offenders studied. An additional sixteen percent had a history of psychotic hospitalization; forty-two percent were involved in drug use; thirty-three percent were removed from their homes prior to the current status offender proceeding; twenty-five percent were removed from schools by medical suspension; and seventy-three percent were from broken homes.[7] A study recently conducted by Arthur D. Little (ADL) and the Council of State Governments, with the Academy of Contemporary Problems concerning the cost and service impacts of deinstitutionalization of status offenders in ten states has found that:

> There are virtually no status offender-specific needs. Rather, there are youth needs. (The only significant exception to this is the need for residential alternatives to detention.) The status offender population overlaps with juvenile delinquents, dependent and neglected children, as well as emotionally disturbed children. The label under which an individual child is identified is a result of how he comes to public attention. Service needs are mostly unrelated to that label, and instead are a function of the individual situation. The spectrum of service needs for each of these groups is very similar.
>
> Some status offenders may, however, have more difficult problems than any other type of youth. Frequently, they have very poor family support and a history of resistance to repeated intervention from service agencies. Of course, some delinquent youth may have problems just as serious as these -- both in their family environments and in their histories of involvement with social service agencies. But in the case of the delinquent, some clearly defined criminal behavior is involved, behavior which may make legal punishment somewhat more understandable to the young person involved. The status offender may perceive his own behavior as entirely rational

and non-criminal. This may make court-ordered sanctions difficult to comprehend, and may render him more uncooperative than even the serious delinquent offender.[8]

A recent study conducted by the United States General Accounting Office (GAO) on the effort to deinstitutionalize status offenders found that some officials view status offender service needs as similar or identical to those of criminal-type offenders, whereas other officials saw status offenders as a distinct group with service needs different from those of other juvenile offenders. According to the GAO study, two states integrated the status offender into a service delivery system designed primarily for abused and neglected youth where foster care and protective service counseling are the most frequently used programs. The state officials in those two states concluded that these programs were often inappropriate to meet status offender needs and that numerous problems have resulted.[9]

Several other studies have attempted to compare the criminal-type offender and the status offender. "No significant differences based on personality-attitude tests, prior arrests, staff and self-reported ratings of adjustment to treatment, successful completion of treatment and on post-release arrests or commitments were found. However, this work has been very limited and this conclusion must be considered tentative."[10]

One factor that must be considered in determining differences between the status offender and the delinquent is the legal versus the behavioral labeling that occurs. For example, the police may arrest a youth for committing a criminal act; but the petition often is filed as a status offense charge or is relabeled as such by the agency responsible for petitioning the case. This process of legally labeling a youth as a status offender instead of a criminal-type offender may result from a situation in which the criminal charge cannot be substantiated in court or because the petitioning agency does not want to give the youth a serious record. Additionally, a criminal charge may be plea-bargained to a status offense charge after the petitioning of the case for similar reasons.

Whatever the rationale, the result is that it is difficult to distinguish between a status offender and a delinquent offender because the legal label does not necessarily indicate the true conduct which brought the youth to the attention of the police or court.

The process of labeling the youth legally as a status offender, when in fact the young person committed a criminal act, makes it difficult to conduct comparison research on the status offender and the delinquent. For more information on the difficulties of using legal labels in research, the planner is referred to Thorsten R. Sellin and Marvin Wolfgang's book entitled, *The Measurement of Delinquency*.[11]

In summary, *the current state of knowledge on the status offender population suggests that there is little difference between the status offender and the delinquent*. *This, however, may be more a function of the legal versus behavioral labeling process*.

SECTION II: SOME PLANNING SUGGESTIONS TO ASSIST THE STATE IN COMPLYING WITH DSO MANDATE

Planners should concentrate on developing programs which would remove status offenders from detention or other institutional confinement and divert the status offender from entering into the system.

The planner should insure that a diagnostic mechanism is established for assessing the needs of status offenders and match them with the potential range of available community services.

One of the goals of a program for status offenders should be to strengthen the family unit. The program should also provide positive life experience directed at opening up legitimate roles for these youth in American society.

In order to overcome obstacles to DSO, well grounded and thorough planning must occur to inspire cooperation from all groups which need to be engaged.

THE STATE'S ROLE IN ASSURING COMPLIANCE WITH THE FEDERAL DSO MANDATE

Each state must submit a plan to OJJDP in order to receive formula grant funds under the Act. The plan must be developed by a designated planner within the State Planning Agency (SPA); assisted by the planner in the Regional Planning Units (RPU) located within each state. In its guidelines to the planners, LEAA has published the following requirement concerning the deinstitutionalization mandate:

> Describe in detail the state's specific plan, procedure, and timetable for assuring that within two years of the date of its initial submission of an approved plan, status offenders, if placed in a facility, will be placed in shelter facilities rather than juvenile detention or correctional facilities. Include a description of existing and proposed juvenile detention and correctional facilities.*

WHAT SHOULD BE THE GOALS OF A PROGRAM TO DEINSTITUTIONALIZE STATUS OFFENDERS?

The planner should concentrate on developing program alternatives to institutionalization which would: (1) REMOVE the status offender from detention or other institutional confinement; and (2) DIVERT the status offender from entering into the juvenile justice system and thereby stop the flow of such youths into institutions.

The development of prevention programs for status offenders should be considered. However, due to the rigid time deadline to deinstitutionalize status offenders, top priority should immediately be given to diversion and institutional removal strategies.

WHAT ARE THE AVAILABLE PROGRAM APPROACHES?

In developing program alternatives to institutionalization, there are basically two approaches: Non-residential and residential community-based alternatives.

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* From the State Planning Agency Grant Guidelines, 4100 1F January 18, 1977. New guidelines are currently being developed to reflect the new DSO time table.

NON-RESIDENTIAL COMMUNITY-BASED APPROACH

The approach consists of any services provided to youth in which overnight care is not included. Family and individual counseling, job counseling, specialized educational assistance, mental health services, recreation, drug and alcohol counseling are all examples of this approach.

RESIDENTIAL COMMUNITY-BASED APPROACH

This approach can provide the same type of services as described above (or no services) as well as overnight care which may extend for an undetermined period of time. Foster care, group home care, structured shelter care, runaway houses, and subsidized independent living are all examples of residential care.

No matter what approach is selected for a status offender, the planner should insure that a diagnostic mechanism is established for assessing the needs of status offenders and matching them with the potential range of available community services.

One problem has been that "courts have not proceeded from the more logical approach of assessing the youths' needs first, and then seeking out means for satisfying them, using a broad variety of resources -- both those traditionally available to the court, and others which would have to be purchased on a case-by-case basis."[13]

It is extremely important to have the youth screened through a diagnostic mechanism so that the youth's needs can be adequately assessed and matched with the service which best meets his or her needs.

REMEMBERING THE FAMILY

Based on current knowledge, it would be fair to say that many status offenders experience emotional, educational, and family-oriented problems.

The research performed in the area of status offender service needs has indicated that status offenders often have poor family support systems.[14]

One of the goals in designing status offender program alternatives to institutionalization should, therefore, be to design programs which will strengthen the family unit. One method that has been used successfully in achieving this goal is intensive family crisis counseling.[15] The central idea of family crisis counseling is that problems should be dealt with immediately and within the context of the whole family rather than centering exclusively on the individual youth whose conduct is the immediate symptom of the problem. The reasons for this family treatment approach are discussed by Langsely and Kaplan in Treatment of Families in Crisis Intervention:

> The family is not only the source of stress in many cases, but has been a major resource in the resolution of stress. The family is the one social unit through which the troubles of all members usually filter. Each person brings home his problems, and he hopes for the understanding and support which will help him master life's struggles. The family is a potential source of strength for individuals who are bruised in the course of everyday living. When the family is functioning well as a stress mediating system, it is a source of enormous comfort and strength to its members. When the family fails in this function, it often adds to the burdens which individual family members are already experiencing.[16]

Virginia Satire, in Conjoint Family Therapy discusses the principles of intervention:

- Those of us who have studied family interaction as it affects behavior in children cannot help wondering why therapy professions have so long overlooked the family as the critical intervening variable between the society and the individual.
- The family system is the main learning context for individual behavior, thoughts and feelings.
- How the parents teach a child is just as important as what they teach.
- Also, since two parents are teaching the child, we must study family interaction if we are going to understand what the family learning context is like.

EMPHASIZING POSITIVE LIFE EXPERIENCES

Although the following discussion is focused on diversion issues, the planner should consider these issues in designing programs for removing status offenders from the institutions as well as diverting the status offender from further court processing.

Diversion programs should do more than simply remove youth from the juvenile justice system. According to Polk and Kobrin, diverted youth should be provided with positive life experience directed at opening up legitimate roles for them in American society. Polk and Kobrin have outlined four basic components of a legitimate identity: "(1) A sense of competence... (2) A sense of usefullness... (3) A sense of belongingness... (4) A sense of power or potency."[18] They have enumerated five conditions that must be met by any program which purports to provide "access to legitimacy":

> First, such access starts from the assumption that young people, including the troublesome, have positive resources to contribute to the community. This assumption is quite different than classical rehabilitation programs, which begin with the premise that the youth has a problem which must be identified and corrected.
>
> Second, the program proceeds immediately to place the young person in an active role where something valuable is contributed, rather than in a passive role where some service is provided.
>
> Third, it is located within a legitimate institution, i.e., the school, a crucial factor in the formation of legitimate identities.
>
> Fourth, the experience can be organized quite easily so that a mix of "good" and "bad" youth is possible.
>
> Fifth, the activity constitutes diversion, both in the sense that it is not connected with the court process and in that legal coercion is not present, i.e., the program is purely voluntary.[19]

Broad goals for diversion programs based on these five conditions can be developed. Diversion programs should provide mechanisms for youth involvement and youth participation. They should include various aspects of decision making and, most important, they should regard youth as integral parts of the program, and not merely as clients.[20]

This diversion program model, based on expanding legitimate social roles for youth, along with increasing their sense of self worth is well supported in delinquency theory and research. However, there is still no conclusive evidence that intervention into the lives of youth will be more effective than minimal interference. In fact, a study concerning the cost and services impacts of deinstitutionalization of status offenders in ten states concluded that "some status offenders are at least as well off left alone, with no public intervention, to mature out their problems."[21]

The National Office for Social Responsibility developed a training manual entitled, "Diversion of Youth From the Juvenile Justice System." In this manual, several program design specifications for developing diversion programs were outlined. The planner should review these specifications and consider including them in the selected status offender program alternatives:

- Assure that programs are nonstigmatizing by:
    - avoiding the use of labels which carry or acquire adverse connotations for the youth or the organizations with whom they are affiliated;
    - avoiding segregation of youth for the purposes of special treatment; and by
    - avoiding the organization of programs in such a way that they exist only for the purpose of helping youth with serious problems.
- Assure that programs stress youth involvement in affairs which directly affect them.
- Assure voluntary participation by involving young people in activities which they choose and agree are beneficial.
- Assure that programs are pluralistic, providing for a range of activities that relate to the interests of the minority as well as the majority.

- When appropriate, provide access to jobs which support the youth's being useful, competent, and belonging.
- When appropriate, modify a youth's school program to provide for greater participation, greater interest, and increased opportunities to contribute to and derive satisfaction from the range of activities within the school.
- Provide opportunities to build cultural ties and skills, as in the arts or in the study and practice of the traditional ways of an ethnic group.
- Provide opportunities to perform useful services in a neighborhood or to other youth, assuring appropriate recognitions and rewards.
- Provide access to programs for young women such as women's coalitions which will assist them to understand the changing roles and opportunities of women. Such programs might also provide role models for young women.[22]

OBSTACLES TO CONSIDER

Planning and implementing a deinstitutionalization program is not a simple process, as planners are aware. Some of the problems to be overcome are discussed below.

Resistance to DSO by the Juvenile Justice System

Many law enforcement and judicial personnel hold the opinion that secure detention for status offenders is justified and they favor limited use of detention facilities as a correctional approach.[23] Planners must develop an accurate awareness of these attitudes in order to develop appropriate approaches necessary to securing cooperation with the DSO objective. These strategies might include involving selected individuals in the DSO planning process so their concerns with DSO may be acknowledged and openly addressed. Subsequent resistance by these individuals at the DSO implementation stage should be reduced.

The planner should work to assure that employees working in institutions do not see loss of their jobs as a consequence of deinstitutionalization. These individuals can be employed by alternative programs in the community. Extensive job retraining should be provided, however, since working with youth in an institutional setting is very different from working with youth in a more open environment.

Legal Issues

Many states currently operate under state legislation which conflicts with the JJDP Act statutory mandate. Planners must become knowledgeable about their state legislation and, when necessary, work towards amending it to assure compliance with the federal DSO mandate. Consideration might be given to the development of a coalition of youth-serving agencies to assist in the discussions with legislators concerning state DSO legislation.

Economic Considerations

Some service agency and correctional officials have cited insufficient funds as a constraint in their efforts to deinstitutionalize their status offenders.[24] However, a study analyzing the DSO effort in ten states found that "there is evidence that there are no significant net incremental costs associated with deinstitutionalization and some evidence that there are possible cost savings over time."[25] In those states in which cost savings were achieved, the following conditions existed:

- The institutions were closed once DSO occurred.
- The state was responsive to the delivery system at the local level and therefore the institutional cost savings were used to finance local alternatives.
- Generally, non-institutional services cost less per child per day than do institutional placements.
- Some status offenders dropped out of the system when institutionalization was no longer a problem.[26]

Although there may not be any net incremental cost increase as a result of DSO in some states, the planner should be aware that this may not be the case in his or her state, especially if the institutions are not closed. Therefore, in planning for DSO, planners should be cognizant that they may have to seek funds in addition to JJDP Act funds to assist in developing community-based alternatives. They must be prepared to muster private, local, and state support to assure availability of these funds. They should also search for innovative methods to attain program self-support (e.g., surtaxes, insurance programs) and make them an integral part of the program.

Organizational and Sociological Conflict

The planner may find overlaps in services provided among individual agencies as well as resistance to discussing possible common goals of programs. The planner may also find different and sometimes conflicting value assumptions about service philosophies applicable to status offenders. Similarly, various segments of the justice community may hold differing in their opinions as to whether status offenders should remain under the jurisdiction of the court. The planner must therefore facilitate resolution of conflicting values within the justice community and among participating agencies. Otherwise, he may be unable to direct the outcome of program planning effectively.

Insufficient Data

The juvenile justice system suffers from insufficient or inaccurate data, and what pertinent data exists is normally not collected in a routine or systematic manner. The planner should, therefore, not expect the collection of data needed for effective development of a DSO plan to be a quick process. Sufficient time and resources should be allocated during the planning process to do what is necessary to assure collection of data necessary for effective planning--even if it entails a full scale manual review of case files.

Planning can help overcome these obstacles, but it must be well-grounded and thorough to inspire cooperation from all groups which need to be engaged.

SECTION III: THE APPROACH TO PLANNING

There are six essentially sequential planning stages that should be followed in planning for DSO. They are statement and needs assessment, objective setting, program design, selecting service providers, program implementation, and program evaluation.

In approaching these planning stages the client flow modeling technique should be utilized to help determine priority adequacy of current services and evaluate what changes should be made.

It is the planner's role to package and sell the DSO concept.

THE SIX STAGES OF THE PLANNING PROCESS AND THE USE OF CLIENT FLOW MODELING

This manual describes a thorough step-by-step planning approach which consists of six, essentially sequential stages as illustrated in the exhibits on the following pages. Exhibit 1 defines each stage, Exhibit 2 illustrates the products of each planning stages.

Planners may differ on the precise number of planning stages, but the point is that all the crucial elements of planning can be incorporated within these six stages. By following these stages in order, the planner will be able to approach planning for DSO in a systematic way.

Each stage is of equal importance. The neglect of any one will affect the outcome of the following stage. Naturally, each planner should adapt the various stages described to meet the particular circumstances in a particular state, region, or local community.

It is recommended that the planner use the *client flow modeling technique in approaching each of these planning stages*. The client flow model can be used to determine how priorities should be set.

PLANNING STAGE

Exhibit 1

Goal Statement and Needs Assessment: This stage involves defining the DSO goal, assuring community recognition of DSO as a need, developing a preliminary problem recognition statement and determining if a needs assessment should be performed, performing a needs assessment, and writing a preliminary report.

Objective Setting: This stage involves developing DSO objectives, prioritizing these objectives, prioritizing recommended alternatives to institutionalization, developing a preliminary strategy statement; announcing the priorities to the public, developing the final strategy statement, and concluding the needs assessment report.

Program Design: This stage involves conceptually designing all program components which should be included in the alternative program(s) to institutionalizing status offenders and writing a final program alternatives report.

Selecting Service Providers: This stage involves identifying the service providers who will comprise the total DSO program, soliciting proposals from those who will be funded by the SPA, evaluating competing proposals, and negotiating and signing a contract for service delivery.

Program Implementation: This stage involves initiating and modifying operation of the program design components.

Program Evaluation: This stage involves systematic collection and analysis of information on program impacts to permit decision-making regarding the increase or decrease in levels of program efforts or to suggest changes (including termination) in program procedures.

DSO PLANNING PROCESS FLOW CHART

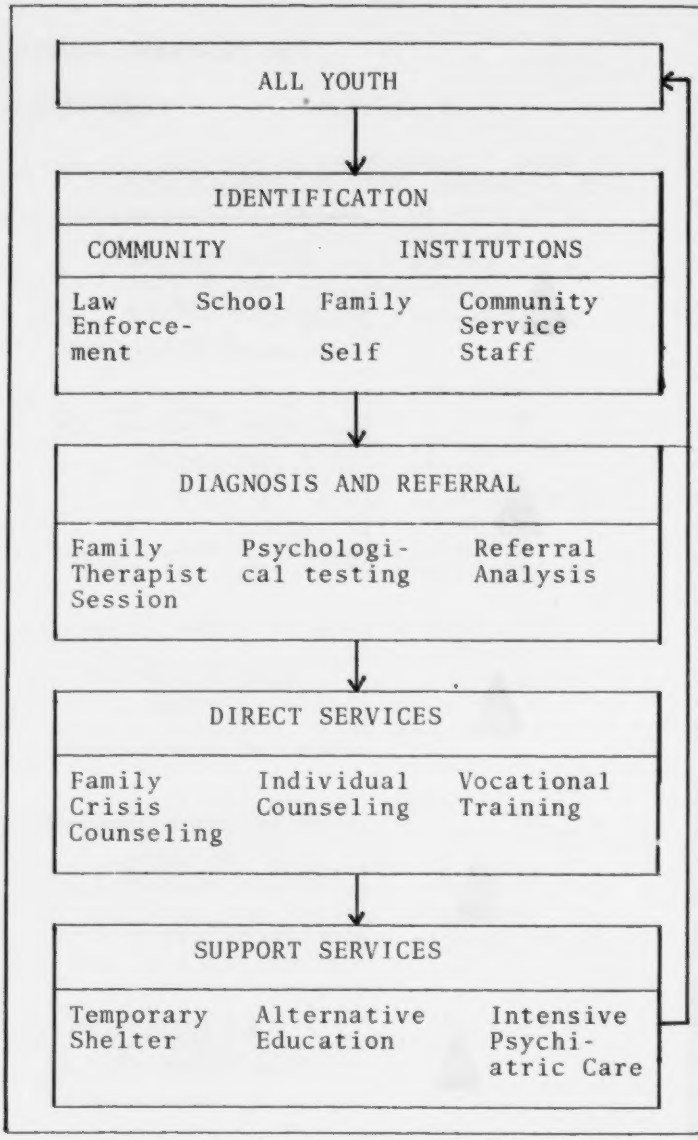
EXHIBIT 2

Time Process	Planning Stage	Planning Result	See Page
▲	Goal Statement and Needs Assessment	Preliminary Needs Assessment	29
▲	Objective Setting	Final Needs Assessment Report	50
▲	Program/System Design	Program/System Design Report	59
▲	Selecting Service Providers	Selection of Service Providers	89
▲	Program Implementation	Deinstitutionalization	100
▲	Program Evaluation	Program Evaluation Reports	106

Although the model for each community program will vary, a generalized model for a status offender service program can be pictured. The program must first have a way to identify status offenders and take steps to address their problems.

Once the status offender is identified, the severity of his/her problem is then assessed and referral is made to those services which best serve the problem(s). To insure a proper environment for service or to maintain the service results the youth may also require support services.

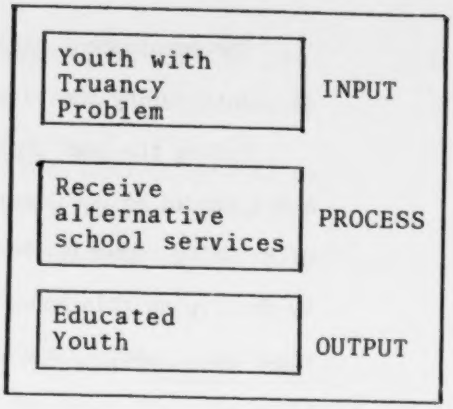
All services, taken together, seek to return the status offender to the general community with an ability to function with committing status offenses.

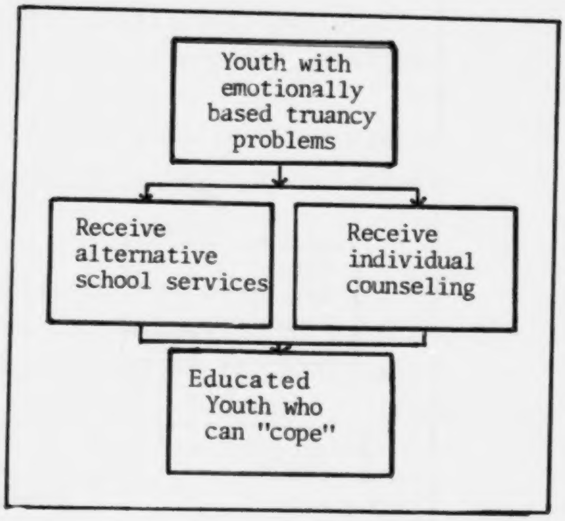


ALL YOUTH
IDENTIFICATION
COMMUNITY
INSTITUTIONS
Law Enforcement
School
Family
Self
Community Service Staff
DIAGNOSIS AND REFERRAL
Family Therapist Session
Psychological testing
Referral Analysis
DIRECT SERVICES
Family Crisis Counseling
Individual Counseling
Vocational Training
SUPPORT SERVICES
Temporary Shelter
Alternative Education
Intensive Psychiatric Care

The adequacy of current services (in terms of gaps) should be identified as well as what changes should be made and to whom responsibility for services should be assigned.

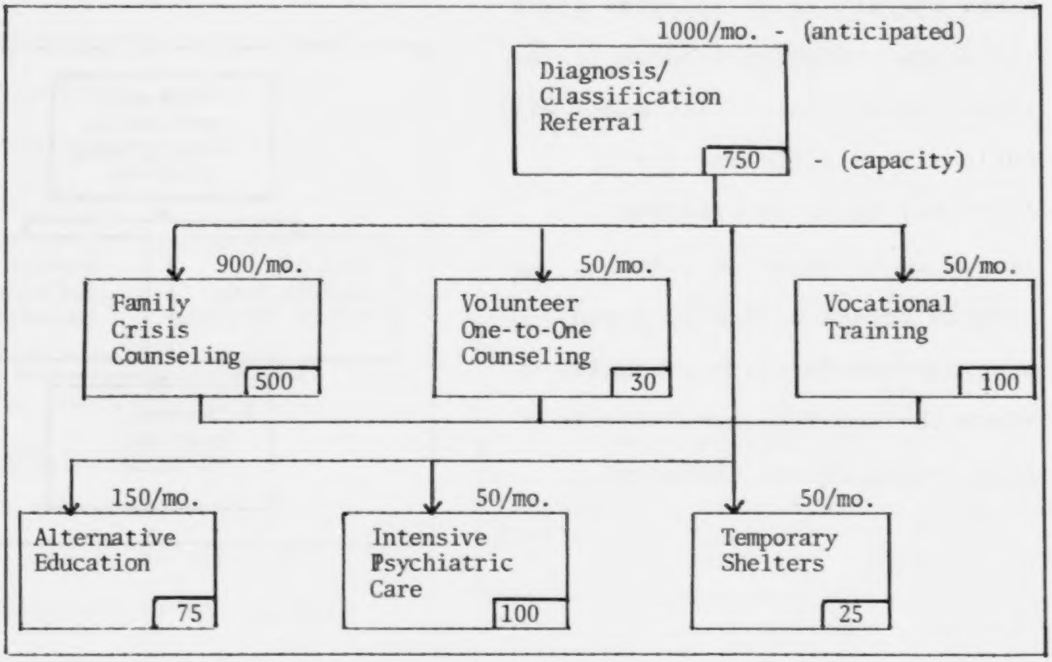
Each client flow model should indicate both flow and stopping points (services). It should attempt to include all major problems and all major services which the status offender program is intended to address. This model will obviously be different for different types of programs (e.g., an alternative school program versus a runaway youth program) and for each community since the services available in each community are different.


Youth with Truancy Problem
INPUT
Receive alternative school services
PROCESS
Educated Youth
OUTPUT


Youth with emotionally based truancy problems
Receive alternative school services
Receive individual counseling
Educated Youth who can "cope"

The development of a client flow model is important at a number of points during the planning process.

During the goal definition and needs assessment stage a detailed model should be developed based on the research findings and analysis of existing community-based programs, and of possible funding sources. By developing this model the planner should be able to make some determination of where capacity must be built, and perhaps switch resources from one function to another to increase capacity.


1000/mo. - (anticipated)
Diagnosis/ Classification Referral
750
- (capacity)
900/mo.
Family Crisis Counseling
500
50/mo.
Volunteer One-to-One Counseling
30
50/mo.
Vocational Training
100
150/mo.
Alternative Education
75
50/mo.
Intensive Psychiatric Care
100
50/mo.
Temporary Shelters
25

Inspect the representative model and consider the numbers inside the boxes as capacities. Service gaps (lack of capability to meet project loads) and bulges (over-capacity) are readily seen in the diagram.

This type of model of client flow should be presented in the preliminary needs assessment report.

During the Objective Setting stage, a model of client flow can be used to explain to the community and key members of the juvenile justice system what the recommended program would do for the status offender.

A model of client flow becomes very important in the Program Design stage. During this stage, the model is used to show the characteristics and number of youth expected to flow to which services so the planner can specify the kinds of procedures, facilities, equipment, staff, etc., needed at each point in the system to provide services.

In Selecting Service Providers, the client flow model is also useful to ensure that the kinds and capacity of services to be purchased are matched to local needs.

After Program Implementation begins, the client flow model should be used to determine if the program operations are occurring as anticipated, and, if not, whether there is a need to adjust the model and actual program operations. If the model and actual program operations vary greatly, a significant financial crisis is inevitable unless quick decisions are made to rectify the situation.

During the Program Evaluation stage, actual program operations will be measured against the statements of objectives.

Two key aspects to remember in using the client flow model are: (1) it is a planning technique that should be used during each planning stage and should look different for most of the planning stages, and (2) it can be developed at multiple levels of detail during each planning stage. For example, a flow model can picture all services or, at a more detailed level, can spell out each stage experienced by clients within a single service.

PLANNING FORMS USED IN THIS MANUAL

Because the process involved in planning for deinstitutionalization is complex, this manual presents a Planning Management System using activity sheets and milestone charts for each planning stage. These forms are found at the end of each planning stage discussion. Blank forms are found as Attachments B and C. Planners are urged to duplicate or adapt these forms and use them during each planning stage.

The activity sheets outline, in logical progression, all the tasks and subtasks involved in conducting each of the planning stages. The planner, in using these forms, should assign a start and completion date for each task and an individual to be responsible for their completion.

The purposes of the activity sheets are to: (1) define explicitly what steps need to be taken regarding DSO within a state or region; (2) measure periodically the progress made towards the achievement of DSO; (3) bring to the surface existing and potential problems which may prevent the achievement of DSO; (4) establish a systematic approach to DSO, thereby minimizing the need for ad hoc or last minute activity; and (5) allow for more rational decision-making and efficient resource allocation.

The milestone charts are to be used as an instrument by which the status of the DSO planning and implementation process for deinstitutionalization can be tracked. In management by objectives terminology, a milestone is a critical step to be taken or state to be passed in order to achieve a specific objective.[27] We define a milestone as any major task or planning stage which has been successfully completed. The activity sheets spell out the sub-tasks or activities necessary to meet each milestone.

THE PLANNER'S ROLE

The planner must plan and monitor the deinstitutionalization process in his or her region or state. In this role the planner must be an activator, a salesperson, and a public relations person. The planner must assure legislative and institutional change, identify and chart definitive strategies necessary to effect these changes, identify the participants to facilitate the change, and obtain all necessary approval for recommended actions. Resistance must be reduced through an active selling of the benefits of deinstitutionalization. This will involve the harnessing of support among those who are aware of the benefits of the proposed changes and calls for a concentrated effort to understand and address the legitimate reasons for resistance among others.

In summary, no one "buys" DSO unless he can understand a benefit either to self, the client, or society. It is the planner's role to "package" and "sell" the DSO concept.

The planner must also maintain a balanced perspective throughout the deinstitutionalization planning process. Perspective implies several things. First, it implies an openess to other ideas. The planner may be too ready to dismiss existing community efforts and to develop an entirely new program. This is the most expensive possible approach in developing alternatives to institutionalization. The planner should, rather, ask the following questions: Are there existing community resources which could be modified to meet the needs of the status offender population? Are there current programs (either locally or in other communities) which have existing tools such as data systems or intake and case processing procedures, which a status offender program can use?

Perspective also involves planning for deinstitutionalization in an efficient and thorough manner. Various arguments can be presented to convince the planner to shortcut the approach presented in this manual. Arguments range from the assertion that not enough time or money is available for planning, to the observation that no one follows a prescriptive planning approach. These arguments are common, but the end result of inadequate planning is a program which falls short of the expectations of program participants, the official community, and the citizens to be served.

PLANNING STAGE

Goal Statement and Needs Assessment: This stage involves defining the DSO goal, assuring community recognition of DSO as a need, developing a preliminary problem recognition statement and determining if a needs assessment should be performed, performing a needs assessment and writing a preliminary report.

Objective Setting

Program Design

Selecting Service Providers

Program Implementation

Program Evaluation

SECTION IV: GOAL STATEMENT AND NEEDS ASSESSMENT

The DSO national goal is for states to deinstitutionalize 75% of their status offenders within three years of their submission of their first JJDP plan and total deinstitutionalization within the following two years.

A DSO needs assessment is a research and planning activity designed to determine how a state can assure compliance with the DSO mandate in a manner which will guarantee that the needs of status offenders are met.

STEPS IN GOAL STATEMENT AND NEEDS ASSESSMENT PLANNING STAGE

Define the DSO goal.
Assure DSO is recognized as a need in the community.
Develop a preliminary problem recognition statement and determine if a needs assessment should be performed.
Perform the needs assessment if necessary:

- establish steering committee,
- define DSO objective,
- determine who should perform needs assessment,
- inform public that a needs assessment will be performed, and
- design needs assessment instruments.

Conduct the needs assessment.
Write a preliminary report.

INTRODUCTION TO THE PLANNING STAGES

The formalized program planning approach described in this manual is "idealized" in that the sequence presented will not precisely correspond to the actual sequence of events. It is, nonetheless, valid in terms of tasks to be performed. The planner may enter the planning process at any point and by reference to this manual determine what remains to be done.

The framework in which each of the planning stages will be discussed is:

- A summary of major tasks to be completed
- An analysis of these tasks
- Example activity and milestone charts

GOAL STATEMENT AND NEEDS ASSESSMENT

A goal is a statement of a desired condition of a system at some point in the future. Therefore a goal is an end product and the steps to achieving that end product are described in time-limited objectives. A goal statement should be stated in clear, realistic and, when possible, measurable terms. Goal statements should lend themselves to measurement in order to determine, during the planning process, what progress is being made towards attaining the goal.

The DSO national goal is for states to deinstitutionalize 75% of their status offenders within three years of their submission of their first JJDP plan, and total deinstitutionalization within the following two years.

The planner may be able to set a more ambitious goal depending on local conditions. At this stage of the planning process, however, a tentative goal needs to be set which can be revised later as more data is obtained.

THE NEEDS ASSESSMENT ANALYSIS

Once the DSO goals are developed, the next step is to perform an assessment to determine how these goals can actually be achieved.

The first step in this assessment process is to determine if there is support for action by the community to assure DSO.* A preliminary assessment can be made through contact with influential juvenile justice leaders such as judges, public defenders, prosecutors, correction directors, police chiefs, and heads of youth service agencies. The review of newspaper articles and other media coverage, as well as state and local budgets might also be helpful in determining if DSO is recognized as a need.

If this preliminary assessment indicates that reasonably widespread problem recognition and support for action does not exist. The planner must then devise strategies to increase community awareness and support for action. To proceed without this support might well be futile. These strategies could entail:

- Development of an ad hoc committee to assist in publicizing the need for DSO. A juvenile justice advisory group could be used at the state level or an existing juvenile/criminal justice planning committee at the local level. Committee members should be willing to go out and talk to various community and juvenile justice leaders about the need for DSO, and to elicit reasons, if any, for opposition. Assurance should be given that reasons for oppositions will be seriously considered in planning for DSO.
- Request the media to provide some initial coverage (i.e., JJDP Act DSO mandate and the humanistic rationale behind DSO).

PRELIMINARY PROBLEM RECOGNITION STATEMENT

Assuming sufficient problem recognition and support for action are found to exist (or are developed) within the community, the next step is to identify what agencies or individuals can provide information on status offenders and if the information is readily available. (For example, how many status offenders are there? Where are they? What are their service needs? What services are available in the community which could serve them? What is the relevant background research? What is the state legislation or pertinent administrative regulations and practices concerning status offenders?)

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* The SPA planner should interpret "the community" as being synonymous with "the state".

The purpose of gathering this information is to develop a preliminary problem recognition statement concerning the status offender situation within a given region or state.

> This problem recognition statement will determine what it is that one does and does not know about the status offender population, and will provide the basis for determining if a needs assessment should be done.

PARTIAL LIST OF AGENCIES AND ORGANIZATIONS WHICH COULD PROVIDE INFORMATION ON STATUS OFFENDERS

- Social Service Department
- Department of Corrections
- Police Department
- Probation Department
- Court's Statistical Branch or Clerk's Office
- Public Defender Service
- Prosecutor's Office
- State and local universities (they may have information on relevant research studies)
- Legislators
- United Way regional offices (These offices have a directory on member agencies within their geographic area. This directory provides a partial list of those community-based agencies which may serve youth.)

If it is determined that there is not sufficient information available to allow for accurate and effective program and systems planning for the deinstitutionalization of status offenders, thena needs assessment must be done. If the following questions can be fully answered, then a DSO needs assessment is unnecessary.

- How many status offenders are in detention or correctional facilities? What are their demographic characteristics?
- How many status offenders are in community-based programs? What are their demographic characteristics?
- What are the service needs of status offenders?
- Are there sufficient existing community resources to serve the status offender population, or is there a need to develop new programs and services for status offenders? What will the costs be to serve the status offenders in a community setting?
- What are the policies and legal requirements for the treatment of status offenders?

These questions should not be answered solely on professional judgment or assumption, but should be based on reliable and valid data.

If it is determined that a DSO needs assessment is needed, then a commitment of the planner's and other people's time (refer to following two pages for discussion on other people involved) must be made. Good planning takes a lot of time and patience. The crisis planning that occurs so often in the juvenile justice/social service field does not work! Sufficient time must be set aside in order for adequate institutional alternatives to be analyzed and for the proposed courses of action to be thoroughly understood and supported by the community. Adequate funding should also be provided to support this planning process. Good planning will save the state or region money in the long run. Funding levels do not need to be excessive if the planner is astute in the needs assessment appropriate, volunteers, students, and available CETA employees.

WHAT IS A DSO NEEDS ASSESSMENT

A DSO Needs Assessment is a research and planning activity designed to determine how a state can assure compliance with the DSO mandate in a manner which will assure that the status offender's needs are met. Thus a DSO needs assessment should:

1) Identify the number and demographic characteristics of status offenders;
2) Analyze the extent and type of status offenders needs;
3) Assess the adequacy of existing services as well as determine the necessity for new services;
4) Determine the costs for providing new services to status offenders in each setting; and
5) Determine the policies and legal requirements for the treatment of status offenders.

A DSO needs assessment should not be thought of as solely the collection and analysis of data; rather it should be viewed as an activity that integrates all information about the status offender's needs and available services with a sensitivity toward the political climate, the juvenile system agencies' attitudes and policies, and the concerns and opinions of the community.

ESTABLISHMENT OF A STEERING COMMITTEE

Once a determination has been made to perform the needs assessment, the next logical step is to develop a steering committee to assist in planning and to insure that different interests and concerns are considered. If the needs assessment is organized at the state level, the Juvenile Justice Advisory Group (JJAG) or a subcommittee of the JJAG could be used. At the local level, a Juvenile Justice Advisory Group member should be represented on this steering committee if possible. Ideally the steering committee should be comprised of: juvenile jsutice system leaders, researchers, legislative representatives, executive representatives, community leaders, youth representatives, and private youth serving agencies.

The planner at the onset should clearly define the role of the steering committee--e.g., as policy or an advisory body. The steering committee must be involved in determining who should perform the needs assessment, setting the objectives of the needs assessment, and actually monitoring the needs assessment as it is being performed.

Although working with this steering committee may be a difficult task for the planner, its existence will assist in ensuring that the DSO needs assessment design will be more comprehensive, and that all the issues involved in DSO will be covered by the data collection plan. Additionally, the identified status offender's needs will be resolved more effectively by involving the responsible agencies and individuals in the planning process. In this way, it is more likely that the findings of the needs assessment will be used--increasing the chances of successful DSO program implementation.

OBJECTIVE OF DSO NEEDS ASSESSMENT

Once the steering committee has been established, the next step is to define the DSO needs assessment objectives. An objective must be measurable and related to time and cost. An example of a DSO needs assessment objective is:

> To determine by ______________________________ at a cost of $ __________ what program/system alternatives are needed to deinstitutionalize status offenders from detention and correctional facilities by ________________________.
> (DSO deadline)

A series of sub-objectives under this very general objective may also be developed.

WHO WILL DO THE NEEDS ASSESSMENT?

Once a steering committee has been established, a determination should be made of who should be performing the needs assessment, at what cost, and within what time frame. The SPA and RPU planner could be the directors of the needs assessment project if their time and research knowledge permits. Consideration might be given to hiring a consulting firm or a social research group within a university. Their expertise should be used whenever the planner and steering committee consider it appropriate. If a consulting firm or university research group is used, its role has to be made clear, and a defininte time schedule provided. In no case should an outside consultant have any decision-making authority. The planner should always retain control. It may be possible to fund the needs assessment performed by an outside organization through the JJDP Act formula grant funds, and/or Title XX of the Social Security Act. The planner may also want to consider using volunteers, members of the Juvenile Justice Advisory Group, and members of the steering committee to help in needs assessment data collection and tabulation.

The needs assessment should meet specific objectives within a time limit and cost allocation set. (For the sake of discussion, the remaining material concerning the needs assessment will be discussed as if the planner and steering committee are actually performing the needs assessment.)

PUBLIC AWARENESS

Next, the planner and steering committee should inform the public that a needs assessment on status offenders is going to be launched. Remember that it is vital to gain community support for DSO so that when program alternatives to institutionalization are implemented there will be little community resistance. Additionally, if community support is established, the feasibility of changing existing state juvenile legislation to complement the federal DSO legislation will be more likely. The chances of gaining community support will be increased by informing the community from the onset what the DSO program is and encouraging them to participate in the planning process via community leaders on the steering committee.

Brief media presentation materials should be provided to educational and commercial television stations, radio stations, print media of advocacy groups, church groups, and other organizations. The names of the members of the steering committee, information on the steering committee meetings, and the practical reasons for DSO could all be topics for a press release. Consideration might be given to releasing press announcements from the Mayor's or Governor's Office. Increasing executive branch awareness at this stage in the DSO planning could prove beneficial later on in the implementation stage. For example, the Mayor and Governor could assure that city and state agencies cooperate and agree on a date to perform the needs assessment.

DESIGNING A DSO NEEDS ASSESSMENT

The next step is to design the needs assessment. In conceptualizing the DSO needs assessment design, the following questions should be considered:

- What do we need to know and why?
- Are there any existing agencies or organizations which currently have the needed data?
- Where else can the data be obtained?
- Is computerization of the DSO needs assessment possible?
- What should the needs assessment data gathering approach be?
- What should the needs assessment survey technique be?
- What needs assessment data collection instruments are necessary?

Answering these questions will provide a direct focus for better management. Following is a brief analysis of what is involved in answering these questions.

WHAT DO WE WANT TO KNOW?

In designing the DSO needs assessment, decisions will have to be made on priority data to be collected. This process will undoubtedly involve a series of compromises among the type of data desirable to collect, what is currently available through existing sources, and what is feasible to collect with the available time and money.

ARE THERE ANY EXISTING AGENCIES OR ORGANIZATIONS WHICH CURRENTLY HAVE THE NEEDED DATA?

Once the planner knows the type of data needed for the DSO needs assessment, an analysis should then be made to determine if any existing sources already have the data. This analysis must be done prior to designing the data collection instrument. The planner, during the development of the problem recognition statement, should have identified many of the possible data sources.

There are a wide variety of data available through existing state and local juvenile justice system agencies. Most of these agencies have annual reports which will summarize data pertaining to their given agencies. Budget documents, as well as past juvenile justice system studies, are often a good source. If existing data is found, an analysis will have to be made to determine if it is reliable, valid, and precise enough to be a true and useful indicator of need.

WHERE CAN THE DATA BE OBTAINED?

A set of simple questions may be developed and administered to various juvenile justice system agencies at the state and local levels and other private community-based youth programs as a means of identifying what organizations have the needed data. This process will also assure avoidance of collecting data that has already been gathered.

IS COMPUTERIZATION OF A DSO NEEDS ASSESSMENT PROCESS POSSIBLE?

One might give consideration to developing the data collection instrument so that the data responses can be tallied by a computer. State governments normally have computer resources. Major industries or universities may also be good resources. Computers can save time and money. Even if data tallying is planned to be performed manually, the data collection tool should be designed to allow for computerization of the results in the event that the data becomes too extensive.

WHAT SHOULD THE NEEDS ASSESSMENT DATA GATHERING APPROACH BE?

There are many different types of approaches that are used in performing a needs assessment. These approaches vary in terms of their reliability, cost, time required, and types of data received. Warhert, Bell, and Schwab's manual, entitled Planning for Change: Needs Assessment Approaches, has categorized the assessment's approaches into five areas. Following is a brief description of these approaches:

The Key Informant Approach

This approach is based on data received from those individuals in the community who would know the needs of the target group.

The Community Forum Approach

This method involves requesting individuals within the community at a public meeting to voice their views on needs and services.

Rates-Under-Treatment Approach

This approach involves a descriptive enumeration of the rate at which persons have already used a service. The focus of this approach is on gathering demographic data as well as information on the types and duration of services provided.

Social Indicators Approach

This method is based on inference of need drawn from descriptive records found in public documents and reports. It is assumed in this approach that estimates of need can be determined by analyzing statistics on selected factors.

The Field Survey Approach

This method involves the collection of data from a sample or an entire population of persons living in a given community.[28]

In performing a DSO needs assessment, a combination of these approaches can be used. For example, a field survey approach could be used in analyzing the service needs of status offenders, whereas the rates-under-treatment approach could be employed in determining the demographic characteristics of status offenders.

WHAT SHOULD THE NEEDS ASSESSMENT SURVEY TECHNIQUE BE?

There are three major techniques used in gathering data and in performing needs assessment survey research: mailed questionnaires, telephone interviews, and person to person interviews. Each technique varies in terms of the type of information that can be collected, the kinds of questions that can be asked, and the cost involved in its administration. Remember, the most important aspect of any technique selected is its ability to collect reliable and valid data in ways which allow for fast and economical retrieval.

WHAT NEEDS ASSESSMENT DATA COLLECTION INSTRUMENTS ARE NEEDED?

Several types of data collection instruments are needed for conducting a DSO needs assessment. The actual number and format of the instruments used will necessarily vary depending upon the approach adopted and the resources available. Under ideal conditions the planner will collect complete information, both on the target population and the programs and facilities involved. To conduct a DSO needs assessment, instruments are needed for:

1. identifying the service needs of the status offender population;
2. identifying existing facilities and programs which do or potentially can serve status offenders; and
3. identifying the demographic characteristics of status offenders and the extent to which they are using existing programs and facilities.

The first two instruments generally involve some sort of questionnaire or interview, while the third requires development of a form for recording data from such documents as annual reports, budget documents, case files, etc. The planner must recognize that one of the most critical aspects at this stage is the proper design of the questions included in the data collection instrument. Some of the basic principles of design include the following:

- Questions that are open-ended provide a more detailed response, but are harder to process and standardize. If a questionnaire is being administered to a limited number of professional agency heads, for example, then the open-ended style will work best. If a large sample of citizens is being polled, then a closed type questionnaire will serve best.

- Questions must be carefully phrased for their implications and effect on response, i.e., a negatively or positively phrased question on a certain issue might bias the responses in one direction or another. Questions should also be phrased so that no one can take offense. Although this seems obvious, there may be very subtle words and inferences in a question that could possibly bias the response.

- Attention should be paid to the ordering and movement of a questionnaire so that the response to one question doesn't bias the response to another.

- Questions should be as clear and concise as possible to avoid loss of time due to a need for explanation and directions.

- When possible, questionnaire results should be checked against statistical records.

- Questionnaire design should always be pretested. Do not print up five thousand copies until you have "debugged" it by trying it out on a small representative group.[29]

Examples of possible needs assessment instruments which might be used are included in Research Handbook for Community Planning and Feedback Instruments Revised, Volume 1, prepared by Behavioral Research Institute. These instruments, "Youth Needs Survey" and "Community Resources Instrument," have been used extensively by youth service centers in conducting needs assessments of the general youth population--but to our knowledge they have not been used specifically in assessing the needs of a status offender population.

Some of the data that could be collected through the instrument included in the appendix as attachment "B" (age, sex, race, and criminal charge of youth involved in each state of juvenile justice system processing) should already have been collected as part of the JJDP Act plan requirement (under the detailed study of needs section). The other data will be helpful for program planning purposes. The form should be examined carefully by the planner to make certain that the information it contains is both available and appropriate for the planner's purpose.

The planner will need to determine what are the policies and legal requirements for the treatment of status offenders. This can normally be done by reviewing state codes and pertinent administrative regulations or memoranda of agreements. However, if this information is not available or helpful, then a formal questionnaire could be developed and sent to the appropriate agency heads.

In the design of the data instrument, consideration should be given to the appropriateness of sampling the data needed to perform the DSO needs assessment. A sample (a portion of the total population under study) is often used as a tool to permit the making of judgments on the needs of the total population.

There has been much written on sampling--the different types of sampling methods, how to determine a good sample, and sampling error. If the individuals performing the DSO needs assessment are not experienced in the methods and techniques involved in selecting a sample, consultation with a social science researcher or other source is advisable.

CONDUCTING THE NEEDS ASSESSMENT

Once the needs assessment design has been finished, the next step is execution. Volunteers to assist in coding or data collection might be helpful and might be obtained through placing advertisements in newspapers, newsletters or through local colleges.

WRITING THE PRELIMINARY NEEDS ASSESSMENT REPORT

Once the planner and the steering committee have completed their analysis of needs assessment data, a preliminary report must be prepared, containing:

> Purpose of the study--The major objectives of the study should be stated. Included in this section could be a historical discussion of the JJDP Act and any state legislation which influences DSO.
>
> Definition of terms
>
> Overview of the agencies involved in DSO--A brief description of the current flow process of a status offender through the juvenile justice system.
>
> The design of the DSO needs assessment--This section of the report is crucial and must be stated in a clear and concise manner. There are many techniques that can be used in making the presentation of data more interesting and understandable. For example, line and bar

graphs, or maps indicating geographic areas which are in need of services.

Analysis of specific service or system needs--The preliminary report should offer an analysis of the specific system changes that are needed to assure DSO. An assessment of what the service alternatives to institutionalization would cost, their volume and geographic location, should also be provided. This need analysis should be based on specific facts revealed in the data and should be ranked in terms of priority. In ranking these needs, consideration should be given to cost, time, and achievability. A model client flow analysis should also be included under this discussion (see Section III for discussion on client flow).

Limitation of the DSO needs assessment study--A discussion should be provided on any problems which existed in the collection or analysis of the data which could have influenced the study findings.

Summary of data--Included in this section should be the scope of the problem, the constraints in DSO, and the summary of the service system needs in order to achieve the DSO goal. This summary should basically be a refined problem statement.

ISSUES TO CONSIDER IN ANALYZING THE NEEDS ASSESSMENT DATA

In analyzing the needs assessment data, the following three issues should be given special consideration: 1) inequities in treatment of females in the juvenile justice system, 2) determining projected caseload, and 3) determining the service needs of status offenders after crisis intervention.

INEQUITIES IN TREATMENT OF FEMALES IN THE JUVENILE JUSTICE SYSTEM

Seventy percent of all females placed in detention and correctional facilities are placed there on status offense charges.[30] If the planner finds similar statistics in his or her state, then careful analysis of the reasons is required. Is it that boys are charged as criminal-type offenders for delinquent acts whereas for similar delinquent acts, a girl is charged as a status offender? Is it that boys tend to involve themselves in more criminal-like behavior or is there a low tolerance by the community, police, families, and court for acting-out females? For example, a girl who spends the night out may be arrested on charges of being incorrigible whereas a boy may never even be brought to the attention of the court for a similar action. Our society has general social taboos relating to youthful sexuality, particularly on the part of females.

> Girls who choose notorious promiscuity as a means of expressing adolescent rebellion are likely to be rejected by their families, relatives, and foster care agencies. Alternatives for unruly girls, expecially sexually active ones, are very difficult to establish. Communities object to the creation of group homes for girls for fear that they will create a bad moral example for other youths.[31]

In analyzing the sex data, the planner and steering committee are advised to give serious consideration to this "double standard" issue in designing status offender alternatives to institutionalization.

DETERMINING PROJECTED CASELOAD

In order to determine future caseload for community-based service, data to be collected during the needs assessment process should include the number of status offenders that are in the juvenile justice system. The planner or steering committee should realize that this data may not reflect the true number of status offenders. As previously mentioned in Chapter I, a youth is often legally labeled as a status offender when he or she has actually committed a criminal act. Therefore, the number of status offenders who really have committed "status offenses" may be significantly lower than the data indicates. Further, the practice of petitioning as status offenders some youth who have committed criminal acts may cease once deinstitutionalization is initiated since the juvenile system may want to place these youth in detention and correctional facilities. The planner and steering committee will have to make some hard judgements on this whole issue in order to determine realistic caseloads.

A related issue that the planner should analyze in making future projections is "the widening of the net" phenomena that often occurs once new services are provided. For example, once a community-based status offender service becomes available, the police may begin to arrest more status offenders (whom they never would have arrested prior to the existence of this service) so that the youth may benefit from the new service. Therefore, no matter what the planned capacity of a new status offender service is, it will probably reach its maximum capacity.

THE SERVICE NEEDS OF STATUS OFFENDERS AFTER FORMAL INTERVENTION HAS OCCURED

If an effective service program is implemented the need for additional support services should decrease. For example, if the average daily population of a correction institution is 120 youth, the planner may assume that there is a need for six residential facilities (based on nineteen youth per home).* However, if a family crisis counseling center is opened which has as its goal reuniting the family, its success should result in some decrease in the need for residential placements.

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* Nineteen was selected to comply with LEAA's definition of nonsecure facilities.

- Task or Planning Stage which is anticipated to be completed
- Completed task or planning stages
- Indication of when task is going to begin
- Indication of slippage
- Indication for slippage for one month
- Indication that completion date cannot be given

PLANNING STAGE I

Goal Statement and Needs Assessment

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
• Completion of goal definition and needs assessment planning stage												
- Define the DSO goal												
- Assure DSO is recognized as need by the community												
- Develop preliminary problem recognition statement												
- Conduct a DSO Needs Assessment •• Establish a steering committee •• Define DSO Needs Assessment Objective •• Determine who will perform the needs assessment •• Inform the public that a DSO Needs Assessment will be performed												
- Conduct Needs Assessment												
- Write Preliminary Report												

PLANNING STAGE
Goal Statement and Needs Assessment

Tasks and Subtasks	By Whom	Start Date	Completion Date
(Cont.)			
•• Collection of relevant federal, state, local studies research			
•• Collection of information on status offender service needs			
•• Collection of information on state/ local administrative practices and regulations			
•• Review of state code			
•• Other			
- Determine if Needs Assessment must be done			
IF A NEEDS ASSESSMENT SHOULD BE PERFORMED THEN:			
• Establish a steering committee			
• Define a DSO needs Assessment objective			
• Determine who will perform the needs assessment			
• Announce to the public that a DSO needs assessment is going to be performed			
- Develop media spots			
- Send spots to television, radio, newspapers, advocacy and church groups			

ACTIVITY SHEETS

PLANNING STAGE

Goal Statement and Needs Assessment

Tasks and Subtasks	By Whom	Start Date	Completion Date
• Define the DSO Goal			
• Assure DSO is Recognized a Need by the Community			
- Methods to Determine Recognition			
•• Contact influential juvenile justice system leaders			
•• Contact influential community leaders			
•• Review newspaper articles			
•• Review state/local budget			
•• Other			
• Methods to Increase DSO Recognition			
- Develop ad hoc committee to assist in publicizing need			
- Request media coverage			
- Other			
• Develop a Preliminary Problem Recognition Statement			
- Collect necessary information on status offender population			
•• Collection of demographic information			

PLANNING STAGE

Goal Statement and Needs Assessment

Tasks and Subtasks	By Whom	Start Date	Completion Date
(Cont.)			
• Design the Need Assessment			
- Determine what data are needed and can be collected			
- Determine if existing agency has the needed data			
- Determine where data can be found			
•• Develop questionnaire to determine what agencies have data			
•• Send questionnaire to agencies			
- Determine if computerization of the DSO needs assessment is possible			
- Select data gathering approach			
- Select technique			
- Select instruments			
- Determine what data should be sampled			
• Conduct the needs assessment			
• Write the preliminary report			
- Develop a client flow model			

PLANNING STAGE

▲ Goal Statement and Needs Assessment

△ Objective Setting: This stage involves developing DSO objectives, prioritizing these objectives, prioritizing recommended alternatives to institutionalization, developing a preliminary strategy statement, announcing the priorities to the public, developing the final strategy statement, and concluding the needs assessment report.

△ Program Design

△ Selecting Service Providers

△ Program Implementation

△ Program Evaluation

SECTION V: OBJECTIVE SETTING

An objective is a statement of results to be achieved within a given time period and with a designated cost.

STEPS IN OBJECTIVE SETTING PLANNING STAGE

Review the preliminary needs assessment report and develop the DSO objectives;

Prioritize objectives and DSO program alternatives;

Develop the preliminary strategy statement;

Announce to the public the priority list of DSO objectives and program alternatives to elicit comments;

Develop the final problem and strategy statement; and

Conclude the final needs assessment report.

OBJECTIVE SETTING

The setting of objectives should not occur until the goal definition and needs assessment planning stage has been completed. It is only after the needs assessment preliminary report has been finished and the scope of the problem understood that the alternative DSO objectives can be formulated and analyzed by the planner and steering committee.

Multiple objectives will begin to emerge during this critical process. An objective, in simplistic terms, is a statement of results to be achieved within a given time period and with a designated cost. Setting objectives provide the basis for determining what alternatives should be chosen to assure achievement of the DSO goal. Objectives will also help establish criteria for evaluating how well the selected program alternatives are working. Therefore, sound planning for DSO must include the development of clear, meaningful objectives, taking into account the following criteria:

THE OBJECTIVES MUST BE MEASURABLE

Measurable factors which provide reasonably reliable indicators of successful deinstitutionalization achievement must be identified and included in the objectives.

THE OBJECTIVES MUST BE RELATED TO TIME

The objectives should include a specific completion date or else progress towards achievement of the objective(s) may be indeterminate.

THE OBJECTIVES MUST BE RELATED TO COST

The positive achievement of an objective has value only in relation to the cost of achieving it. (e.g., to place ten deinstitutionalized status offenders in a specialized program at an annual cost of $70,000 might be considered excessive.) Thus, attaching a cost figure to each objective will help assure the effective use of limited resources to achieve DSO. Selection of priority objectives will also be made easier by relating cost to an objective.

THE OBJECTIVES MUST SPECIFY A TARGET GROUP

The objectives should state for what target group the desired result will be accomplished.

THE OBJECTIVE MUST BE REALISTIC

The DSO objectives should be attainable in light of existing resources and constraints.

THE OBJECTIVE MUST BE SPECIFIC AND UNDERSTANDABLE

The objectives should be stated in clear and concise terms.

THE OBJECTIVES SHOULD BE CONSISTENT WITH THE DSO GOAL

The objectives developed should be geared towards achieving deinstitutionalization of 75 percent of the status offender population within three years of a state's first submission of a JJDP plan and achieving total deinstitutionalization within five years.

THE OBJECTIVES SHOULD NORMALLY ONLY STATE WHAT AND WHEN A RESULT SHOULD BE ACCOMPLISHED, BUT NOT HOW OR WHY

An objective should be a statement of results that are expected to be achieved. To state how an objective will be accomplished is usually not appropriate in the objective statement itself because most objectives can be achieved in multiple ways, (e.g., to reduce by 90 percent the number of truants referred to the court "through new alternative school programs" suggests that this approach is the only possible alternative when there are numerous other possible alternatives). If, however, it is absolutely critical that an objective be accomplished by one technique, then it would be acceptable to provide information on how the objective would be accomplished. To state "why" an objective has been developed is simply a justification for its existence. There is no need to provide that kind of information at this stage since justification was already analyzed during the goal definition and needs asssessment stage.[32]

PRIORITIZE OBJECTIVE AND PROGRAM ALTERNATIVE LIST

Once the planner and steering committee have developed the objectives, they should then prioritize them in terms of the resulting effect, achievability, and cost; they should then be listed in descending order of importance. Continual modification will have to be made in developing a final list of priority objectives. Even after the final list has been established, there will be times when an objective will have to be dropped or moved up in priority as new information is received, or an unanticipated event occurs.

Once the priority list of objectives has been established, a line should be drawn under those objectives which should receive top priority. The remaining objectives should be implemented if sufficient resources become available or if circumstances change significantly to move an objective up into the top priority listing. Once the priority listing of objectives is completed, then the planner and steering committee should analyze what program alternatives are necessary to accomplish these objectives. The alternatives should be listed next to the objectives also in descending priority order. The geographic area (but not the specific site) and estimated cost should also be provided. (See Exhibit III). A model of client flow using these alternatives should then be constructed.

DEVELOPMENT OF A PRELIMINARY STRATEGY STATEMENT

The next planning step is to develop a preliminary strategy statement to include: (1) Rationale for DSO; (2) Scope of the status offender problem in the state or local area; (3) The DSO priority objectives; (4) The DSO recommended priority alternatives with their designated costs. Supporting rationale for recommended alternatives should include: (5) An analysis of the preliminary estimates of funds from OJJDP, LEAA, and other potential funding sources; and (6) Constraints involved in achieving DSO.

The process involved in developing this strategy statement will assist the planner and steering committee in assuring that all issues and constraints known at this stage are taken into account in planning for DSO.

PRIORITY LIST OF OBJECTIVES AND PROGRAM OPTIONS

EXHIBIT 3

TOP PRIORITY OBJECTIVES	PROGRAM OPTIONS
1. Divert 70% of the status offenders referred to the court by June 1979 at a cost of $400,000	- Establish a 24 hour family crisis intervention center in X areas at Y cost. - Courts refuse to accept truancy referrals from the schools. - Refer status offenders to other community based programs in X areas at Y cost. - Provide no treatment.
2. Deinstitutionalize 75% of the current population of status offenders from correctional facilities by June 1979 at a cost of $300,000	Combination of those listed below: - Open two group homes in X areas at Y cost. - Open two-day treatment centers in X areas at Y cost. - Foster independent living by ____________.
3. Deinstitutionalize 90% of the status offenders detained in detention facilities at a cost of $200,000	Combination of those listed below: - Establish home detention program at Y cost. - Open emergency group homes in X areas at Y cost. - Purchase service for five foster homes.
LESS IMPORTANT OBJECTIVES	
4. Place 50 truants known by the court into a special education program by October 1979 at a cost of $150,000	- Establish three special education programs in X schools at Y cost. - Open an alternative school in X areas at Y cost. - Develop a special education program in existing youth service programs in X areas at Y cost.
5. Provide mental health services to 200 seriously disturbed alleged and adjudicated status offenders by November 1979 at a cost of $250,000	- Fund existing community mental health agencies in X areas at Y cost to provide services to status offenders. - Fund thirteen psychiatrists to provide mental health services in existing family service agencies in X areas at Y cost. - Open one new mental health agency to serve youth in X areas at Y cost.
6. Change the existing law concerning status offenders to make it coincide with the federal DSO mandate by August 1979 at a cost of $1,500.	- Develop an ad hoc committee to help in publicizing the need. - Initiate meetings with and send letters to executive and legislative bodies.

* An objective that might be moved to top priority if it became apparent that the former top three objectives would not be met unless objective six was met first.

ANNOUNCE TO THE PUBLIC THE PRIORITY LIST OF DSO OBJECTIVES AND PROGRAM ALTERNATIVES

The steering committee should make a public announcement of the proposed priority list of objectives and program alternatives to major interest groups (juvenile justice system agencies and interested citizenry). This public announcement may take place by holding multiple community forums as well as conducting individual sessions with the juvenile justice system agencies, community based organizations, school officials, and other community leaders. The strategy statement and proposed client flow model should be given to all those participating in any type of public announcement meeting as well as to any other interested persons. The purpose of making this public announcement effort is to elicit suggestions and comments on the recommended alternatives. This process is important because:

- Eliciting suggestions and comments from members of the juvenile justice system provides a forum to assure that all legal and practical concerns are taken into account in selecting the final DSO alternatives to institutionalization. Additionally, judicial resistance to a DSO program may be reduced if the judges are encouraged to participate in the decision making process.

- Eliciting suggestions and comments from community-based organizations and the schools should encourage their involvement in assisting the DSO effort, and may uncover costs as well. In most instances, in order to achieve complete deinstitutionalization, a total collaborative community effort will be necessary. The child welfare and family service agencies, mental health agencies, and schools typically have not concentrated on serving status offenders and their families. Involving these agencies in the DSO decision making process should enhance their needed cooperation.

- Eliciting suggestions and comments from the community will make it increasingly aware of the need for DSO. Community support for DSO should be strengthened once the need for DSO is recognized and understood. This support is extremely valuable, especially during the program implementation stage. The community will also become aware that although the institutions will be closed for status offenders, there will be other service options available.

- Eliciting suggestions and comments from the community may help bring forth those individuals who can be very helpful in assuring that the recommended alternatives are carried out. Conversely, identification of those who are against DSO will also become known. A golden rule for any community organizer or planner is, "Know Thine Enemy." Strategies can be developed once it is known who will be resisting the DSO efforts and why.

FINAL STRATEGY STATEMENT

The only difference between the final and preliminary strategy statement is that the final alternative to the institutionalization of status offenders will have been ultimately decided upon by the planner and steering committee after the public's recommendations and comments have been considered. Once the planner and steering committee have arrived at the recommended alternatives, the supporting rationale for selection should be carefully documented for later reference. People may forget the reasons why they chose one alternative over another, and may want to change their decision at a later date. If the original rationale can be reconstructed, it may be helpful to minimize unproductive or undesirable changes. The planner may find it useful to maintain a log or diary to record the day-to-day decisions which may cumulatively affect program direction over time.

Once the recommended DSO alternatives are selected, a brief re-examination of the stated objectives is useful. The stated objectives in particular should be reassessed to determine if they can be evaluated. To be evaluated, performance must relate to an objective which indicates the desired change among which target groups, at what cost, and over what time period.

AN OBJECTIVE THAT CAN BE EVALUATED

Decrease by 90 percent the annual number of the status offenders referred to the court by June 1979 at a cost of $300,000.

Desired Change: Decrease by 90 percent the number of status offenders referred.
Target Group: Status Offenders
Cost: $300,000
Target Date: June 1979

Measurable objectives will make it possible to define specific means of determining the DSO impact. Such objectives will also provide direction and set boundaries for DSO alternatives; that is, all contemplated actions are more likely to be weighed carefully to determine their contribution toward meeting the DSO goal.

CONCLUSION TO THE PRELIMINARY NEEDS ASSESSMENT REPORT

Once the final DSO program alternatives have been decided upon, the preliminary needs assessment report should be revised to reflect final decisions on program alternatives to institutionalization of status offenders.

- Task or Planning stage which is anticipated to be completed
- Completed task or planning stages
- Indication of when task is going to begin
- Indication of slippage
- Indication for slippage for one month
- Indication that completion date cannot be given

PLANNING STAGE II

Objective Setting

Planning Manual Page ___

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
Completion of Objective Setting Stage												
• Review the preliminary needs assessment report and develop DSO objectives												
• Prioritize objectives and DSO program alternative												
• Develop preliminary strategy statement												
• Announce to the public the priority list of DSO objectives and program alternatives and elicit comments												
• Develop final strategy statement												
• Conclude the needs assessment report												

PLANNING STAGE II

Objective Setting

Tasks and Subtasks	By Whom	Start Date	Completion Date
• Review the preliminary needs assessment report and develop DSO objectives			
• Prioritize DSO objectives			
• Prioritize program alternatives - Develop a client flow model			
• Develop preliminary strategy statement			
• Announce to the public the priority list of DSO objectives and program alternatives and elect comments - schedule meeting - hold community forums - hold individual meeting with:			
• Develop final strategy statement - document supporting rationale - reassess objectives			
• Conclude the final needs assessment report			

PLANNING STAGE

▲ Goal Statement and Needs Assessment

▲ Objective Setting

△ Program Design: This stage involves conceptually designing all program components which should be included in the alternative program(s) to institutionalizing status offenders and writing a final program alternatives report.

△ Selecting Service Providers

△ Program Implementation

△ Program Evaluation

SECTION VI: PROGRAM DESIGN

In developing a service program for status offenders, both service delivery and program development components and management system components must be designed.

STEPS IN PROGRAM DESIGN -- PLANNING STAGE
Design Service Delivery and Program Development Components:

- Design referral process,
- Design the intake through follow-up process,
- Design the program and operational methods and procedures,
- Design the community relations and education process, and
- Design the alternative funding possibilities.

Design the Management System:

- Design the information system,
- Design the evaluation system, and
- Design the monitoring system.

This planning stage involves designing all the program components which should be included in the status offender program(s) recommended alternative(s) to institutionalization. It is assumed in the planning approach that deinstitutionalization is not a release-with-no-service program. The emphasis is on appropriate service planning in a comprehensive system employing various agencies within the state and community.

In such a system both service delivery and program development components and management system components must be designed. These components include:

- Service delivery and program development components such as:
    - client referral from other sources,
    - intake through termination process,
    - standards of service,
    - service and operational methods and procedures,
    - community relations and education, and
    - alternative funding development.
- Management systems components such as:
    - information systems,
    - monitoring systems, and
    - evaluation systems.

THE PLANNER'S ROLE

The planner, having supervised the conduct
and the setting of objectives, is positioned to follow through with a responsive program design.

The needs assessment process itself and interaction with the steering committee should have begun a process in which the capabilities of various agencies to serve status offenders have been explored and defined. A follow-up with the administrators of these agencies will solidify their views on the methods of developing the necessary service network to accomplish DSO objectives.

The use of client flow charts, as discussed in Section III, will help specify the roles and relationships of existing service activities and those necessary to be added to complete the network in each geographic area.

Some of the needed services are undoubtedly being provided already by certain agencies (e.g., schools, health clinics, vocational programs, etc.). Their roles need to be affirmed. At the same time, a referral system will need to be formalized, perhaps through a memorandum of agreement with other elements of the juvenile justice system.

Some agencies may need additional resources to accept greater client loads; the planner can help to secure those resources, possibly by a direct grant of SPA funds, if alternative funding through other programs cannot be obtained.

Other agencies in the developing network may be in a position to initiate missing service components -- for example, an emergency shelter, counseling, diagnosis and referral center. If this service can be provided by more than one organization, it may best be funded through competitive proposals from qualified providers. The next chapter, on selecting service providers, will discuss the funding process further. At this stage it is important, first, to identify the key components of the DSO program and work out a system conceptually which will assure their functioning together.

It is not the role of the planner to design detailed procedures and forms. The details must be worked out by the participating service providers, for it is they who must operate under the systems which are ultimately designed. However, the planner should know the kinds of program components required and be able to specify the requirements, at least at the conceptual level. Time should be provided in the early stages of the program implementation phase for the completion of detalied procedures and forms to support each program component. The planner should be available to participating service providers at the time of program implementation for assisting in the development of procedures.

These components are discussed on the following pages. Sample flow charts and procedures are provided for illustrative purposes only.

SERVICE DELIVERY AND PROGRAM DEVELOPMENT COMPONENTS

The service delivery and program development components discussed on the following pages are not exhaustive, but they are the basic components that are usually fundamental to any program design. The planner should include other components which are revealed by the needs assessment to be necessary in achieving the DSO goals and objectives.

CLIENT REFERRAL FROM OTHER SOURCES

The planner, with the steering committee and involved agency representatives, should identify potential referral sources and work out criteria for each type of referral to the status offender service providers. For example, should the school refer the status offender to the court or to a special DSO center? Exhibit 4 illustrates the various different possibilities involved in referring a status offender to a specialized center.

INTAKE THROUGH FOLLOW-UP SERVICES

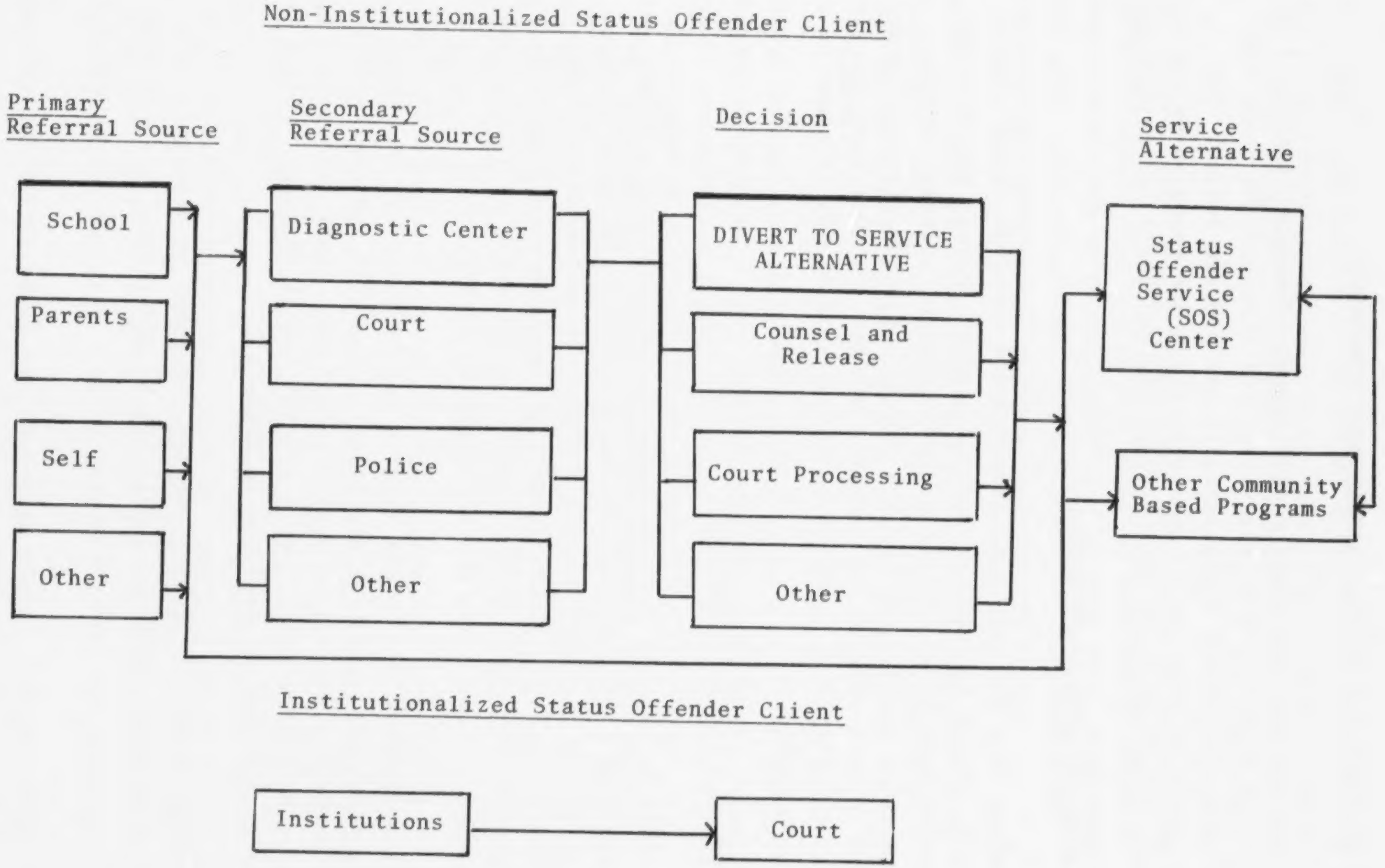
As discussed in Section III, the planner should develop a client system flow model from intake through follow-up services for each service entity or agency in the total DSO system. By capturing each basic element in the system in this format, the planner should help the steering committee focus on the kinds of procedures, facilities and staff needed at each point in the community's services.

If it is determined that a new service entity is needed to handle incoming referrals, and provide shelter, diagnosis, counseling, and special placement service, a more detailed flow chart is needed. An example of a limited version of a special status offender service (SOS) center's client flow is depicted in Exhibit 5.

Each element should be further defined, at least in principle. For example, diagnostic work-ups should not be undertaken in a way that

Exhibit 4

REFERRAL PATHS USING CENTER FOR STATUS OFFENDER SERVICES


Non-Institutionalized Status Offender Client
Primary Referral Source
Secondary Referral Source
Decision
Service Alternative
School
Parents
Self
Other
Diagnostic Center
Court
Police
Other
DIVERT TO SERVICE ALTERNATIVE
Counsel and Release
Court Processing
Other
Status Offender Service (SOS) Center
Other Community Based Programs
Institutionalized Status Offender Client
Institutions
Court

unnecessarily duplicates an evaluation already performed (e.g., a youth referred for truancy stemming from a defined learning disability may not need a new series of tests before being placed with a specialized education agency).

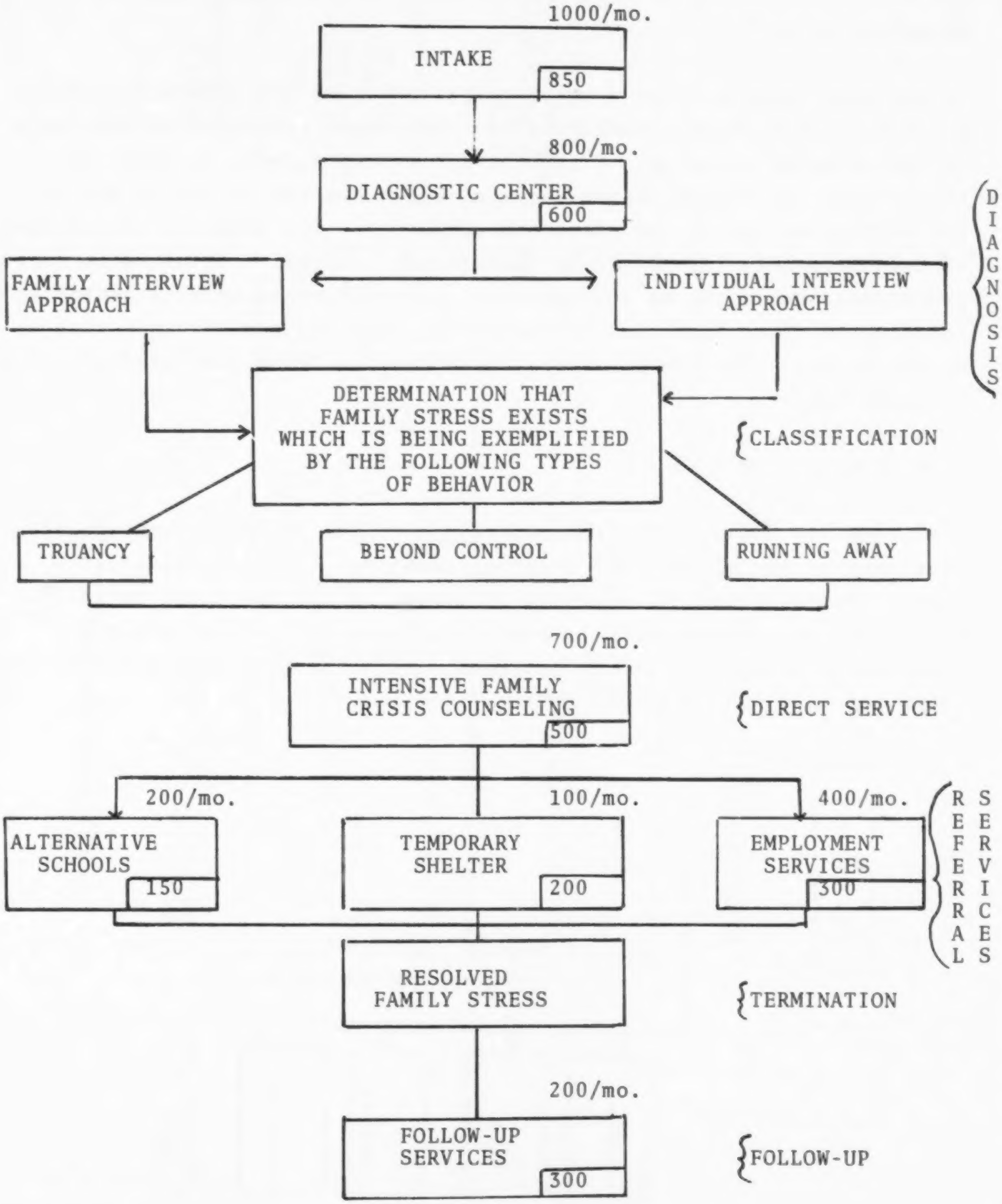
In any case, proposed new service components need not be overly planned prior to selection of a qualified provider whose role must include much of the detailed planning. It is the job of the planner to know, at this stage, the nature of the service needed and how it should fit in the service system of the state and community. For example, the process of secondary referral should be considered. Exhibit 6 illustrates some procedures that might be adopted by a status offender service center in relation to other agencies. Assuming the need for new services such as an SOS center, additional design components should be completed as outlined below.

STANDARDS FOR SERVICES

Standards for new or even some existing services should be conceptually developed by the planner and steering committee. These standards should generally specify expected staffing, (staff-to-client ratios, staff qualifications, staff responsibilities, staff training needs), expected duration of services provided, estimated cost, and availability (days per week and hours per day).

Exhibit 5

CLIENT FLOW MODEL FOR A
STATUS OFFENDER SERVICE (SOS) CENTER


1000/mo.
INTAKE
850
800/mo.
DIAGNOSTIC CENTER
600
FAMILY INTERVIEW APPROACH
INDIVIDUAL INTERVIEW APPROACH
DIAGNOSIS
DETERMINATION THAT FAMILY STRESS EXISTS WHICH IS BEING EXEMPLIFIED BY THE FOLLOWING TYPES OF BEHAVIOR
CLASSIFICATION
TRUANCY
BEYOND CONTROL
RUNNING AWAY
700/mo.
INTENSIVE FAMILY CRISIS COUNSELING
500
DIRECT SERVICE
200/mo.
100/mo.
400/mo.
ALTERNATIVE SCHOOLS
150
TEMPORARY SHELTER
200
EMPLOYMENT SERVICES
300
REFERRAL SERVICES
RESOLVED FAMILY STRESS
TERMINATION
200/mo.
FOLLOW-UP SERVICES
300
FOLLOW-UP

STATUS OFFENDER SERVICE CENTER
REFERRAL PROCEDURES

Exhibit 6

1. Where possible, contact should be made with the professional who will handle the case rather than with stopping with the receptionist at the agency with whom the referral is being made. (The chance of a client being lost will be less likely by following this procedure.)

2. Provide the status offender and family with specific details for making contact (name of counselor, telephone number, name of agency, and address.)

3. Provide all pertinent information regarding the status offender and family to the new counselor.

4. Contact the agency to determine if the status offender and/or family was seen by the counselor. If not, contact the status offender/family to see what hapened and make appropriate decisions at that time (e.g., refer to another agency, see again, terminate.)

(These referral procedures are discussed in an LEAA Exemplary Program entitled Juvenile Diversion Through Family Counseling.)

SERVICE OPERATIONAL METHODS AND PROCEDURES

Depending on the new services being initiated in the community, some operating procedures should be anticipated in the design. For example, planning of residential programs will require some notion of supervision, house rules, client participation in house rules, client participation in housekeeping, recreation, etc.

When a diversion program is developed as an alternative to institutionalization, some procedures must also be developed by the service providers to guarantee the due process rights of status offenders. Exhibit 7 gives an example of legal issues for which procedures should be planned.

Community-based service providers will have to develop practical implementation strategies to insure that due process rights are enforced because resistance by program staff is not uncommon. Exhibit 8 outlines some sample strategies which may be employed.

Exhibit 7

SAMPLE LEGAL ISSUES FOR WHICH DETAILED PROCEDURES SHOULD BE DEVELOPED IN DIVERSION PROGRAMS

- Provide notice of proposed actions to be taken. Candidates for removal from the juvenile justice system must be fully informed of the nature of and the length of time of required participation in the program, of the manner in which the alternative program will determine success or failure, and of any negative consequences which might befall the candidate from failure in, or failure to complete the program. The youth's decision to participate or not must be informed and voluntary.

- Protect the youth against self-incrimination.

- Guarantee that admission of guilt or culpability is not required as a prerequisite to diversion.

- Guarantee appropriate legal advocacy on behalf of individuals. In situations where the possibility of infringement is greatest, legal representation, including appointment of counsel in cases of indigency should be assured. Youth must be able to invoke their rights as well.

- Provide opportunity for formal and informal hearings before actions are taken against a person. This opportunity to contest decisions should be afforded at all points in the system--before diversion to service programs, before involuntary termination from programs when termination of controls on individuals is unfairly delayed or protracted.

(These issues are discussed in a training manual entitled, Diversion of Youth From the Juvenile Justice System, published by the National Office for Social Responsibility (NOSR).)

Exhibit 8

EXAMPLE STRATEGIES TO INSURE THAT DUE PROCESS RIGHTS OF STATUS OFFENDERS ARE ENFORCED IN DIVERSION PROGRAMS

Strategy (1):	Develop formal reporting requirements which monitor the decisions that are made concerning disposition.
Strategy (2):	Conduct staff training sessions which emphasize the need to protect constitutional and moral rights.
Strategy (3):	Inform participating youth of their rights; provide booklets and any other media material which outlines the established due process legal procedures.
Strategy (4):	Inform the parents of both their rights as well as the rights of their children.

(These issues are discussed in NOSR's training manual entitled, Diversion of Youth From the Juvenile Justice System.)

COMMUNITY RELATIONS AND EDUCATION

Community Relations. The planner and steering committee should think through how the service providers might select a site and inform the community of the new status offender program. Community resistance to community-based alternatives to institutionalization should be lessened by adequate preparation.

Similarly, in those instances where existing community-based agencies will serve as alternatives to institutionalization, the planner and steering committee may help by recommending some strategies to gain community support for these agencies in their expanded efforts.

For insight on the type of procedures that should be developed, the planner can review an article by Robert Coates and Alden D. Miller **article** entitled "Neutralization of Community Resistance to Group Homes" in Closing Correctional Institutions: New Strategies for Youth Services.

Exhibit 9 outlines some procedures developed from Coates' and Miller's article. It is, however, the service provider's responsibility to develop the detailed procedures on how to select a site and inform the community of the new status offender program.

It should be realized that some community resistance will still occur--no matter how much community involvement there has been during the DSO planning process or how many procedures have been developed to neutralize this resistence. The service provider will simply have to develop strategies appropriate to the situation for resolving conflicts.

Community Education. It will not take long for the community to realize that the institutions and detention facilities are no longer available to serve the status offenders. The community (e.g., parents, schools) may feel that there are no available options for them unless the community-based status offender services are well publicized. Once the program has been established in the community and most of the community resistance conflicts have subsided, the next step for the service provider is to launch a large scale public awareness campaign. The planner and steering committee should take leadership in suggesting approaches to this public awareness campaign, and support the service providers in conducting it. This support may include special access to the media, the development of a "speaker's" bureau, or arranging time on the agenda of key meetings in the community.

Alternative Funding Development. Programs which are started with the state and federal seed money too often close their doors once this money expires. The planner should work with any of the SPA's grantees or contractors beginning even before program implementation to design a strategy for attracting other funds to support the program once initial seed funding is terminated. This strategy should be expressed in specific objective terms with a timetable for various action steps.

THE MANAGEMENT SYSTEMS COMPONENTS

The Management system involves an information system,an evaluation system, and a monitoring system. It will be helpful to gain agreement among participating providers to report key statistics in connection with their services to status offenders. Obviously, the planner has

Exhibit 9

SAMPLE PROCEDURES FOR SELECTING A SITE AND ANNOUNCING A NEW STATUS OFFENDER PROGRAM

1. Selection and Survey of the Community

Perform a comprehensive analysis of the community and the particular neighborhood in which the proposed facility will be located (Resistance can be determined if enough is known about a community). In performing this analysis, determine: how has the community been organized in the past to defeat a program? What type of people live in the area - are they professionals or day laborors? Is the community integrated? Is crime recognized as a problem? Who has the power and how is it exercised?

2. Strategy for Entering the Community

Develop appropriate strategies for entering the community once the survey analysis has been performed. Sample strategies follow:

- Maintain a low profile approach: appropriate for a mobile, pluralistic community.
- Significant few approach: may be adaptable in a residential community where the local residents have not shown organizational capabilities but where the town and civic leaders are playing an active role in redirecting or shaping the community.
- Significant few and local resident approach: appropriate for a well organized community. This strategy is directed toward a community which would want to assess its needs and take an active cooperative role in meeting some of those needs.

3. Selection of Site

Assure that the site is suitable for the program. Determine if the facility is large enough to handle the flow. (It is difficult to fight resistance if physical and structural issues are raised by the community and couched in terms of what is "good for kids.")

4. Selection of Name of Program

Do not select a name for the program that can concern citizens (e.g., "help", "recovery"). The choice may effect how the community perceives the program and whether a zoning variance will be required.

5. Presentation of Program Content

Discuss the program content with local citizens in a clear and precise manner. Explain selection criteria and procedures so residents will understand that the program does not involve serious juvenile offenders.

control over data captured from providers which are funded by the SPA. The management system components discussed below apply to any provider, but it is assumed that design effort will be concentrated on those providers which are ultimately funded by the SPA to provide new services. In order to track the effectiveness of the overall DSO program, however, an attempt should be made to get reporting cooperation among all participating agencies.

THE INFORMATION SYSTEM[33]

The purpose of the information system is to capture data about a large number of events and reflect in summary form what is occuring in the program. It is integral to all program planning functions and supports the following activities: 1) program and system planning; 2) tracking; 3) caseload and fiscal accounting; 4) services reporting; 5) personnel management; and 6) monitoring and evaluating progress against stated objectives.

The planner should work out a conceptual design for supporting these functions through a practical reporting system. The design will specify data needs (what measures are needed, by whom, and how they will be used), as well as how the data will be collected and reported. In addition, there must be provisions safeguarding the security and privacy of all clients.

COLLECTION OF DATA

The types of data that an information system should be designed to collect include 1) population (program environment) information, 2) client information, 3) service information, and 4) management and administrative information. These are discussed below.

POPULATION (PROGRAM ENVIRONMENT) INFORMATION

Information about the citizens of the community and their social circumstances, as well as more detailed information about those individuals thought to have the highest potential for program entry, is necessary for rational program services planning. These data fall under the general classification of "program environment information," and include basic demographic data on the general population as well as the status offender population to be served. Population data should be collected over time to gauge shifts in knowledge, attitudes and behavior.

CLIENT INFORMATION

Client data are of direct value in determining client service needs, in documenting a picture of services history, and in determining client progress toward individualized goals. Client data may thus reflect the status offender's pre-service background, the services received in the past, current situation, and an assessment of progress with respect to the individual service plan.

SERVICE INFORMATION

Another important category of information is that processed by the information system and provided to service providers to support program operations. A major component of this information may be referred to as case history and tracking data. Case history and tracking data permit service providers to keep track of a client's progress even if that client is referred to other agencies to receive services. These data also permit service providers to retrieve information readily on active cases for day-to-day processing purposes. The ability to retrieve information (if consistent with established security and privacy policy) is an important consideration in client service since it reduces the frustration and expense caused by re-collecting information. A final form of case history and tracking data may be collected in "longitudinal follow-up studies" designed to determine and inform practitioners of services outcomes after some period has elapsed following termination of service. A second class of service provider support information may be termed caseload management data. These data are used to inform practitioners and their managers of such things as current caseloads, caseload assignments, and scheduled client services required in upcoming work periods.

MANAGEMENT AND ADMINISTRATIVE INFORMATION

Management and administrative information may generally be classified as public information, policy and planning data, resource data, and administrative support data. Following are types of management and administrative information:

- Public Information Data: The management and administrative function draws upon the information system, service provider contact, street contact, and activities in other communities to develop a unique plan for public information and education and for community action. Information about populations reached and impacts perceived or measured should in turn be recorded in the information system.

- Service Policy and Planning Data: The program services plan is built upon knowledge acquired through past program operations, the needs and desires of the community, the perceptions of past and potential clients, and other factors such as the state-of-the-art application of servcies. The resulting overall plan for services should be added to the information system for subsequent progress monitoring purposes.

- Resource Data: From a planning viewpoint, resource development data concerning personnel skills, training plans, staffing plans, and other resource development or allocation data should be recorded in the information system. Two types of data are generally involved:
  - Resource Descriptive Data describe the nature and characteristics of available resources, plans for resource development, and results of developmental efforts; and
  - Resource Activity Data describe what, how, when, where, why, by whom, and for whom resources are expended.

- Administrative Support Data: This information is used to account for and manage the use of dollars, equipment, facilities, contract services, personnel, and all other entities which can be quantitatively controlled.[36]

For more detailed discussion on information systems and sample forms, the planner is referred to the manual entitled Client Tracking which is one of the manuals developed for the SPA planner.

EVALUATION SYSTEM

A program evaluation should be designed to serve two purposes. First, it should measure the impact of the project on the target problem (measures should include positive and negative as well as intended and unintended impacts). Second, it should analyze the processes and activities of the program in order to develop an understanding of the reasons for the outcome of the program, and provide feedback to program personnel about effects of program activities. This evaluation should suggest program modifications which might be more effective. For a more complete discussion of "impact evaluation" and "process evaluation" the planner should read Edward Suchman's book, Evaluation Research.

EVALUATION APPROACH

If the evaluation is to be most useful, it should be completely designed and ready for implementation by the time service providers are selected. The most rigorous types of evaluation designs require that baseline data be collected prior to program implementation. This should be done during the final planning stage for the service providers. Following is a brief description of several types of evaluation approaches which might be considered in the course of designing the overall program.

- Experimental Approach. This technique seeks to evaluate the effectiveness of a program by measuring the impact of services on one cohort in relationship to an "identical" cohort which receives no service. Success is measured in terms of dependent variables (outcomes) as a function of intervening variables (clients). This approach, in its most rigorous form, is rarely implemented for several reasons including technical difficulty of defining or randomly selecting cohorts, the usefulness of other techniques, and the egalitarian principle that those who require service should, indeed, be provided the service. Because few programs can provide high quality services to all youth who qualify, random selection is often the fairest method for determining who may enter the project.

- Relative Effectiveness. This is an approach which is similar to the "experimental approach" and may be used to evaluate the comparative effectiveness of different programs or service modalities. Similar cohorts of service recipients are selected and assigned to different service components. These assignments are then followed and may be modified until the best client/services effectiveness matches are reached. This evaluation may then form the basis for more precise future client assignments, for while one service may be relatively more effective. It is not necessarily optimum.

- Goals and Objectives. This approach directly relates goals to problems, and uses quantified outcome objectives as the baseline for measuring outcome accomplishment. The approach permits program staff to see the interrelationship of their activities with total program goals and objectives and establishes a system for both output and input measurement. It also encompasses reprogramming capability based on ongoing evaluative assessments.

- Intermediate Measures of Success. This approach is used when, for most service recipients, program accomplishment is measured not so much in terms of succesful accomplishment of program objectives, but rather in terms of the positive accomplishment of intermediate activities which are successive links in a chain. Accomplishment may be measured, for example, in terms of outreach, enrollment, reference, continuation in the program, diversion to other programs, services provided, etc. This approach generally utilizes an operational model depicting a client's step-by-step progress in the program to the highest successful exit form. Intermediate successful exit forms are defined, and a time progress longitudinal record of performance is maintained. Success of outcomes may then be related to community, agency, service modality, and client characteristics.

- Models of "Successful" Process. The model approach is conceptually related to the "intermediate measures of success" approach, but its application is somewhat different. A general model of a service delivery system is developed on a scale commensurate with program scope. Desired intake, routing, services, and outcomes are defined according to client and service provider characteristics. The model is then used as a comparison against actual system operations with mismatches handled either by modifying operations or optimizing the model. Once a fairly "steady state" model is achieved, it may be used as an ongoing yardstick for evaluating program operations.

- Program Audit. This form of administrative evaluation seeks to measure the internal procedural operation of a program against "generally accepted standards." While "success" may be achieved in terms of fulfillment of objectives, a program may be operating at well below optimum efficiency. This can best be determined by a review of the following: programmatic approaches, operational procedures, management planning, fiscal and administrative procedures, and information systems approaches and procedures. The results of these sorts of evaluations are, in turn, translated into quantified objectives for enhancement for subsequent evaluation.

Evaluation of a particular program may involve the use of any or all of the approaches discussed. For example, a general model may be developed and used to formulate goals and objectives and to define intermediate measures of success. An experimental program element may be included. Such a program may then be evaluated using any or all of the approaches described. Such a "total" evaluation approach highly recommends itself as a mechanism for maximizing the effectiveness, and the efficiency of all program elements and might utilize a "systems perspective."

COLLECTION OF EVALUATION DATA

The data necessary for a sound evaluation should normally be extracted from the agency's information system. The most useful evaluation information comes from the following components of the information system.

- Population (Program Evaluation) Information
- Client Information
- Service Information
- Management and Administrative Information

best copy available

MONITORING SYSTEM

Monitoring is essentially concerned with the identification of operational events or circumstances which differ from program design and procedures. Monitoring is a responsibility of the service provider and the planner. It is accomplished by ongoing review of the reports produced by the information and evaluation systems through special monitoring reports developed by the service deliverer and by direct contact with the service delivery units. The monitoring system utilized in this manual, which consists of activity sheets and milestone charts is an example of a monitoring report system which could be designed by planners.

The activity sheets should reflect the work effort necessary to carry out each of the planned activities. These work efforts should be broken down into manageable, clearly defined steps. Activity steps provide the basis for scheduling, budgeting, and for assigning responsibilities. Each activity or task should have a discrete beginning and completion point separated by a specific time span. Key schedule dates should be designated as implementation milestones. Examples of several types of dates which might be chosen for use as milestones are: 1) the delivery of a significant output (i.e., audit report); 2) the completion of major tasks (i.e., develop instructional materials, select and train staff); and 3) a major decision point (i.e., selection of a site for a group home). A milestone generally occasions a formal review of the status of costs, schedules, and the success of implementation.

Reporting procedures should be designed that will provide the planner with information needed to monitor program activities. The reports planned during the design phase should contain at a minimum:

- Summary status of the program meeting its program objectives (specific measurement data should be included);
- Summary status of the program meeting its time schedule;
- Summary of current and anticipated problems as well as steps taken to deal with them;
- Summary of anticipated work plan during next reporting period, if altered from original; and
- Summary of costs, to date, with analysis of how remaining major funds will be expended, if different from plan.

Special report requirements should be held to a minimum since they are an added expense to the contractor. However, special reports should be submitted if the planner finds that there are program operation problems. The program information system should be designed so that much of this information can be easily retrieved.

The reporting system developed should provide timely, understandable information, and should formulate the basis for taking corrective actions. Routine management meetings should also be included in any monitoring system design.

THE PROGRAM DESIGN REPORT

Upon completion of the design for all service delivery, program development, and management system components, the planner should develop a program design report. This report should contain all pertinent information regarding each of these components.

△ - Task or Planning Stage which is anticipated to be completed
▲ - Completed task or planning stages
- Indication of when task is going to begin
△- -△ - Indication of slippage
△→△ - Indication for slippage for one month
? - Indication that completion date cannot be given

PLANNING STAGE

Program Design

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
• Initiate Program Implementation Planning • Design the Service Delivery and Program Development Components • Design the Management System												

PLANNING STAGE III

Program Design

Tasks and Subtasks	By Whom	Start Date	Completion Date
● Initiate Program Implementation Planning - Hold meetings with key service delivery administrators to solicit their views on the means of developing the necessary service network - Formalize roles of key administrators ●● Develop memorandums of agreements ● Design the Service Delivery and Program Development Components - Design client referral from other sources - Design intake through follow-up service ●● Develop a client flow model - Specify standards for service - Specify service operational methods and procedures - Design community relations and procedures - Specify community education procedures - Consider possible alternative funding options			

PLANNING STAGE III

Program Design

Tasks and Subtasks	By Whom	Start Date	Completion Date
• Design the management systems components			
- Design Information System			
•• Develop a conceptual design to support: a) Program and system planning b) Tracking c) Caseload and fiscal accounting d) Services reporting e) Personnel management f) Monitoring and evaluation of progress against objectives			
•• Select information system data			
- Design an Evaluation System			
•• Select an evaluation approach			
•• Select evaluation data			
- Design a Monitoring System			
•• Design a reporting mechanism			
•• Develop reporting procedures			

PLANNING STAGE

▲ Goal Statement and Needs Assessment

▲ Objective Setting

▲ Program Design

△ Selecting Service Providers: This stage involves identifying the service providers who will comprise the total DSO program, soliciting proposals from those who will be funded by the SPA, evaluating competing proposals, and negotiating and signing a contract for service delivery.

△ Program Implementation

△ Program Evaluation

SECTION VII: SELECTING SERVICE PROVIDERS

The planner can be more certain of obtaining the most effective service delivery system if the service providers are selected competitively rather than on a sole-source basis.

STEPS IN SELECTING SERVICE PROVIDERS

- Select Solicitation Method
- Prepare and Distribute Solicitation
- Receive and Evaluate Proposals
- Select Service Providers
- Formalize the Service Agreement

SELECTING SERVICE PROVIDERS

After designing the proposed service network for status offenders, there should be a clear idea of what existing service providers can do. The review of a client flow model depicting service needs could be useful to exemplify what roles the service providers can play. Those who will be involved in reaching the DSO objective within their existing capacity may specify their role by means of a memorandum of agreement which indicates their willingness to receive referrals.

Other service providers may have the expertise to serve status offenders, but need to expand their operations. The planner can be helpful, via the steering committee, or advisory group, in promoting the allocation of new funds from health, education, manpower, social service or other programs to assure achievement of DSO objectives.

In some of those cases, the SPA may find it useful to supplement other funds to enhance the capacity of existing service providers. In most plans, there will also be a need for some new services. In these cases, the SPA will want to provide funding in a way that will insure delivery of the needed services in the most cost-effective manner.

The purpose of this section is to provide guidance in selecting the providers who will receive SPA funds to deliver services within the total DSO program.

"SOLE-SOURCE" AWARDS

Determining which of several possible service providers can deliver the most for the money is not an easy process. In most cases, The planner can be more certain of obtaining the most effective service delivery system if the service providers are selected competitively rather than on a "sole-source" basis. There are instances, however, when sole-source procurement procedures are appropriate. If a planner is certain that only one organization is capable of providing a necessary service in a given geographic area -- for example, drug treatment services might be limited by statute to a particular agency -- then there is no alternative to a sole-source award. There are also situations when timing is particularly critical and one agency or organization is in a position to deliver the required services rapidly, even though other organizations might also be capable if given more time. If this situation occurs, a sole-source award may be justified.

There are also occasions when a sole-source award may appear to be politically expedient or necessary. It is not uncommon for services secured under these circumstances to be less than satisfactory. Frequently it is possible to avoid political pressure of this type if the planner considers political issues carefully from the outset of the planning process. Under most circumstances, the service providers should be selected on a competitive basis if the best results are to be obtained.

COMPETITIVE SOLICITATIONS FOR PURCHASING SERVICES

If the planner decides to solicit competitive proposals for the provision of necessary services, two types of funding mechanisms are generally available -- grants and contracts. Ordinarily services should be purchased under a contract rather than with a grant. A contract provides the funding agency with better management control. It also offers a more certain legal recourse if difficulties arise because grants are frequently regarded as "gifts" and are not subject to civil procedures for non-performance.

In deciding whether to use grants or contracts, the planner should be certain to comply with OMB Circular 74-7, Attachment O, which spells out the minimum standards for contracts supported with federal funds. Also, LEAA Handbook 4500.2A, Procedures for Administration of Categorical Grants, contains a useful discussion on the appropriate uses of grants and contracts. Since federal, state and local procurement laws and regulations can be extremely complex, the planner should check with available legal counsel to insure strict compliance. If the legal or financial unit of the agency has no contractual specialist, counsel may be obtained from the office of the Attorney General or District Attorney.

PREPARING THE SOLICITATION

Whether the planner decides to purchase services through competitive grants or contracts, it will be necessary to prepare a formal document soliciting proposals. In the case of contracts, a Request for Proposal (RFP) is published which sets forth the requirements and objectives to be met by the proposing agency.

A poorly written RFP can cast an inferior image over the whole planning effort and is likely to bring forth proposals that are, in turn, inferior. A well written RFP does not guarantee good proposals, but does raise the probability of getting more relevant responses. Once the planner completes the RFP it should then be reviewed by the steering committee prior to being released.

The National Office for Social Responsibility has published a model RFP and explanatory guides in the manual entitled DSO: A Model Request for Proposals and Contract for Services. The model RFP can also serve, with modification, as a guide for soliciting grant applications. In our discussions, therefore, "RFP" will be used to refer to either method of competitive procurement.

DISTRIBUTING THE RFP

In order for the solicitation to be truly competitive, it should be announced in the relevant newspapers, trade publications (such as the Commerce Business Daily) and through a generalized mailing, so that all potential service providers will be aware of it. It is a good idea to require that anyone wishing to receive the RFP submit a written request and enclose at least three self-addressed mailing labels. One label can be pasted on the envelope containing the RFP, another can be added to the mailing list for the solicitation which must be retained for agency files, and the third label should be used if additional mailings are required.

RECEIVING AND EVALUATING PROPOSALS

The RFP should specify clearly the time and place where proposals must be submitted. Generally speaking, at least one month from the release of the RFP must be allowed for adequate proposal preparation. Depending on the complexity of the problem, more time should be made available, if possible. It is unlikely that more than two or three months will be necessary.

Prior to releasing the RFP the planner, in conjunction with the steering committee, should have developed specific procedures for reviewing and evaluating the proposals. The planner cannot be solely responsible for this process. It can be a monumental task which requires a variety of perspectives if the most cost-effective proposals are to be supported. Ideally, a proposal review committee will be established prior to the RFP release and will have participated in the full RFP development -- certainly in establishing evaluation criteria. The review committee could consist of the entire steering committee or a subcommittee. Staff of the planner's agency should be involved in this process. At a minimum, the financial specialist should carefully review the budgets for the proposals to make certain that they comply with accepted standards and procedures.

The planner should also be certain to comply with the requirement in the Juvenile Justice Amendments of 1977 which amends Section 223(a) (3) of the JJDP Act:

> An advisory group shall have an opportunity for review and comment on all juvenile justice and delinquency prevention grant applications..., except that any such review and comment shall be made no later than 30 days after the submission of any such application to the advisory group.

References should be checked to ensure that the bidder is competent and, in fact, has the experience claimed. A detailed list of the advantages and disadvantages of each proposal should be developed to determine which of the competing proposals offers the greatest quality of service for the available resources. The Cost and Time Allocations attached to the sample RFP in the "Model RFP and Purchase of Service Contracts" manual should be completed to aid in making the selection.

SELECTING SERVICE PROVIDERS

Each reviewer should formally rank all proposals. The average rank may then be computed and distributed, along with summary comments, to the entire review committee. One way of doing this is to list the evaluation criteria and the weight assigned to each on a form, then assign a score from 1-10 (worst to best) for each proposal on each criterion. These weighted scores may then be added together and averaged. The planner should realize that there may be considerable discrepancy among the actual scores assigned by individual reviewers because some people tend to score very conservatively while others may be more generous or less demanding. If there are wide variations in the relative rankings of the proposals across reviewers, this is an indication of serious disagreement over what constitutes an acceptable proposal. If the rankings are essentially the same, although the total scores may vary, there is little cause for concern and minimal time should be devoted to discussion.

If a funding decision cannot be clearly reached on the basis of these reviews, oral presentations may be required, and the funding decisions made while the presentations are fresh in the minds of the evaluation pannel. In any event, the planner should make certain that all bidders are notified in writing about the outcome and reasons for rejection or selection. If bidders whose proposals are not supported request a meeting to discuss the reasons for their rejection, the planner and at least one member of the committee should meet with them and provide as much information as possible. Such "debriefing sessions" are generally required by procurement regulations and also serve to avoid creating future problems for the DSO program.

FORMALIZING THE SERVICE AGREEMENT

After a potential contractor has been selected, the next phase is to guarantee that service will be provided as intended, and that the service provider will be properly reimbursed. The formal mechanism necessary is a contract, which becomes the final legal definition of agreement between the planner and the service provider.

The actual contractual clauses, or performance requirements, to be included in the contract, are determined by a negotiation or bargaining process. This negotiation should be considered as a dialogue in which the planner (or any other individual(s) representing the agency) and the contractor agree to perform specific activities in return for the specific activities of the other. A balance between the two parties is achieved, the nature of which is determined by many factors (such as the political, economic, social, or experiential "strength" of either party).

From the point of view of the planner, there will be many activities which the service provider must perform, and associated alternatives for non-performance. Any contracting agreement should be made with the assistance of legal counsel, to insure that contract language supports decisions which have been made. In addition, standard provisions covering such matters as the billing procedure, reporting requirements, and audits should then be included in a "General Provisions" section of all contracts. Other "Special Provisions" can vary for different projects, and are subject to negotiation. These provisions would cover matters such as the total budget, the key personnel involved, and the specific services.

PROVISIONS OF THE CONTRACT

In general, the two principal considerations of comprehensiveness and specificity should control selection of the provisions of the contract. Comprehensiveness means that all activities, services, reporting, or other activities which the contracting agency requires are written into the contract. Producing a comprehensive description does not have to be difficult. In fact, if a standard RFP procedure is employed, and a standard project activities description or schedule is included, then, such a description could probably be used as an attachment to a standard contract. A standard contract could then contain all essential items which are necessary and usual to assure the performance under the contract.

Specificity means that all details should be made as clear as possible, that an activity to be performed should be stated precisely enough so that it can be interpreted in only one way.

When trying to accomplish both of these contractual goals, it is not necessary to be overly formal. "Boiler-plate" is a favorite legal term, representing the extra verbal armor necessary to protect against unforseen difficulties or attacks. Thus, many contracts contain reams of legal jargon, "by, which, and for" the intent of eliminating confusion. However, the key to clarity is simple, concise language which the layman can understand, tempered with a legal understanding of the ramification of certain phrases. Legal counsel should be used throughout the contract definition stage, to assist in the selection of legal restraints applicable to a service situation, as well as to assist in the writing of these restraints.

The structure of the contract should be built upon the structure of the RFP; in fact, they should all be considered together. For every statement in the RFP requiring some service activity, a similar clause should be found in the contract. To illustrate the application of these concepts, a "sample contract" is included in DSO: A Model Request for Proposals and Contract for Services. The "sample contract" is not an example of what might actually be written, but is a "supermarket," containing many clauses which might be used. Every clause does not have to be used, depending upon the unique environment of your agency or service needs. Moreover, some clauses are offered in the alternative, providing a policy choice. However, this sample contract can be used selectively, employing or deleting clauses where appropriate. Its structure has been designed to permit application to a broad set of situations. Since no single type of contract can efficiently cover all service contingencies, an agency should devise an assortment of purchase-of-service contract clauses to cover the major variations. These clauses could contain blanks for easy completion, and could also be aggregated into major variations of contracts. Of course, each contract should be completely retyped when it is to be used for a specific agreement.

△ - Task or Planning stage which is anticipated to be completed

▲ - Completed task or planning stages

•— - Indication of when task is going to begin

△--△ - Indication of Slippage

△↷△ - Indication of Slippage for one month

? - Indication that completion date cannot be given

PLANNING STAGE

Selecting Service Providers

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
• Distribute RFP												
• Evaluate Proposal												
• Select Service Provider												
• Formalize Service Agreement												
• Prepare Solicitation												

PLANNING STAGE

Selecting Service Providers

Tasks and Subtasks	By Whom	Start Date	Completion Date
• Determine if services should be selected competitively or by sole source			
• Determine if funding mechanism should be grants or contracts - Check funding procedures with contractual specialist or legal counsel			
• Prepare solicitation - Write RFP - Review RFP with appropriate staff and steering committee			
• Develop specific procedures for reviewing and evaluating proposals			
• Select proposal review committee			
• Distribute RFP - Announce RFP through relevant media mechanisms			
• Evaluate proposal - Check bidders references - Develop detailed list of advantages and disadvantages of each proposal			
• Select Service Provider - Rank all proposals - Meet with potential bidders - Notify all bidders of the outcome in writing			
• Formalize Service Agreement - Meet with selected contractor for contract negotiation - Sign contract			

PLANNING STAGE

▲ Goal Statement and Needs Assessment

▲ Objective Setting

▲ Program Design

▲ Selecting Service Providers

△ Program Implementation: This stage involves initiating and modifying operation of the program design components.

△ Program Evaluation

SECTION VIII: PROGRAM IMPLEMENTATION

The planners attention during program implementation should be spent on short range planning and replanning to accommodate changing circumstances and problems as they arise.

STEPS IN PROGRAM IMPLEMENTATION PLANNING STAGE

Initiate program operations

Continuation of normal program operation

Monitor program operations

Modify program operations

Communicate program accomplishments, problems and solutions

Removal of status offenders from the detention and correctional institutions and prevention of new entry by others.

PROGRAM IMPLEMENTATION

During program implementation, most of the planner's attention should be spent on routine management functions, and relatively little on planning. Planning continues to be important, however, in that routine management also involves short range planning and replanning to accommodate changing circumstances and problems as they arise. The investment made in planning, to this point, should reduce the number of crises which arise. Following is a brief description of the activities involved during program implementation:

INITIATE PROGRAM OPERATIONS

The first step in initiating the new aspects of the DSO program is to review and pre-test any new procedures and forms. Those developed under special grants or contracts should be approved before services begin.

With the form system operational, the planner will be able to determine if the projections and assumptions made about client volumes, cooperation between agencies, and referral processes are functioning as expected. A client flow model should be developed to assist the planner and the management staff of participating agencies in determining if the client volume is as expected. (Refer to Section III for discussion of a client flow model.) The planner should be immediately alerted of any major problems that occur in the early stages of program implementation. A few of the problems that can occur early on include: 1) some inaccurate assumptions may have been made about client characteristics or services appropriateness, 2) volumes of clients being served in various parts of the service delivery system are not as predicted, 3) cooperation between agencies may not be as expected and some agencies may not deliver as agreed, and 4) staff members may not be adapting to procedures as readily as expected.

CONTINUE NORMAL PROGRAM OPERATIONS

The continuation of normal program operations is a self-sustaining process if the management, program methods, related procedures, and staff training are adequate. Problems or unusual conditions encountered during the operation of the program should be documented in the monitoring reports. The participating agencies, should contact the planner if serious problems emerge which could jeopardize the program's operations. The planner should not be involved in the program's normal operations. If this occurs, it may indicate inadequacies in the program service and management design and their complementing procedures. A planner's time should be reserved for handling exceptional problems and for interagency coordination.

MONITOR PROGRAM OPERATIONS

Monitoring operations is the responsibility both of the planner and management staff of participating agencies. The monitoring process should determine whether operations are occurring as planned or if significant program or fiscal problems are being encountered, and in a timely enough manner to allow for corrections.

At the program staff level, monitoring will involve feedback from staff meetings, case conferences, and statistical summaries.

At the planner level, monitoring should consist of feedback received from meetings with agency staff, observations from visits to service locations, and analysis of the routine monitoring reports designed during the program design stage.

Management meetings with the planner and program staff is another method of insuring the flow of essential monitoring information to the planner. These meetings could be held on a routine basis or before critical stages are to occur.

Other methods for the planner to determine progress and problems of the program include systematic management audits of technical and fiscal operations and unscheduled audits. The planner may also answer complaints from clients, service providers, the courts, or local political leaders as a means of determining the program's progress and/or identifying problems.

Problems that have been identified through any of these mechanisms may call for some management action ranging from reinforcement of procedures already established to the modification of procedures.

MODIFY PROGRAM OPERATIONS

Modification of program methods or procedures should be approached with caution for several reasons: 1) a change in one program method or procedure may affect other methods and procedures within the same agency or among other service providers; 2) a modification may have dramatic fiscal impact; 3) ability to evaluate the program may be impaired; and 4) a procedure change may violate the rights of youth being served.

Program modification essentially entails a "re-planning process" which may require the planner to "re-develop" a procedure or change part of the program's design. In either case, the message to remember is: Don't change anything until the full impact of the change is analyzed.

For reasons previously mentioned, all changes in the program should be reviewed and, in the case of grantees and contractors, approved by the planner. A formal change control process involving both verbal and written communication should be used, and all agencies involved in the program should be consulted and/or informed.

COMMUNICATE PROGRAM ACCOMPLISHMENTS, PROBLEMS AND SOLUTIONS

Program accomplishments and needs should be communicated to the community, the child welfare and juvenile justice systems, and to political leaders. Continous liaison with these groups will help sustain support for the program. Most people want to help accomplish a difficult job if they are kept involved and informed.

REMOVAL OF STATUS OFFENDERS FROM THE DETENTION AND CORRECTIONAL FACILITIES AND THE PREVENTION OF NEW ENTRY BY OTHERS

Emptying the detention and correctional facilities of status offenders and preventing new status offenders from entering by alternative service delivery which meets the needs of these young people are the end products of program implementation.

- Task or planning stage which is anticipated to be completed
- Completed task or planning stages
- Indication of when task is going to begin
- Indication of slippage
- Indication for slippage for one month
- Indication that completion date cannot be given

PLANNING STAGE

Program Implementation

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
• Initiate Program Operations												
• Implement Monitoring System												

PLANNING STAGE

Program Implementation

Tasks and Subtasks	By Whom	Start Date	Completion Date
• Initiate Program Operation			
- Review and pre-test procedures and forms			
- Develop a client flow model			
• Implement Monitoring System			
- Review of monitoring reports			
- Hold meetings with contractor			
- Perform management audit			
- Perform unscheduled audit			
• Modify Program Operations			
- Analyze full impact of any proposed changes			
- Develop a formal mechanism of informing agencies of any modifications			
• Communicate program accomplisments, problems and solutions			
- Hold meetings			
- Send media presentation materials			

PLANNING STAGE

▲ Goal Statement and Needs Assessment

▲ Objective Setting

▲ Program Design

▲ Selecting Service Providers

▲ Program Implementation

△ Program Evaluation: This stage involves systematic collection and analysis of information on program impacts to permit decision-making regarding the increase or decrease in levels of program efforts or to suggest changes (including termination) in program procedures.

SECTION IX: PROGRAM EVALUATION

Two major purposes for program evaluation are to provide quick response data and a final accounting of program success.

STEPS IN PROGRAM EVALUATION - PLANNING STAGE

Determine who should perform the evaluation
Define the problem
Define outcome objectives
Define data required to assess outcomes
Obtain data from program evaluation
Analyze outcomes
Formulate program recommendations

PROGRAM EVALUATION

WHO SHOULD PERFORM THE EVALUATION

Outside evaluation specialists should be seriously considered since the requirement to assess identified objectives and goals achievement needs to be performed objectively. Funds should be allocated to the evaluation of the program from the onset. The evaluator should be responsible to the planner's agency rather than the service agencies in order to insure objectivity.

WHAT ARE THE STEPS IN PROGRAM EVALUATION

The process of performing an evaluation sometimes seems extremely complicated and technical. However, reduced to its basic elements, the evaluation process involves:

> Defining the problem. The rationale for the development of the program should be clearly and concisely stated. (Refer to the final strategy statement developed during the objective setting planning stage.) A definition of the problem to be resolved should be developed for each program element before the program is implemented.
>
> Defining outcome objectives. One or more measurable objectives for outcomes should be developed for each problem definition, again, before the program starts. An objective is formulated in terms of some positive or negative change in the incidence rate of the problem, in terms of changes in resources applied to the problem, in terms of time frames, combinations of these factors, or additional factors -- as long as a measurable outcome target is established. (See Exhibit 10 for an example of evaluation objectives of a DSO program.)
>
> Defining data required to assess outcomes. The statement of objectives immediately implies that certain information about problem occurrence, clients and client loads, resources expended in various services, and data about past history must be obtained. An important nuance in this evaluation step is the corollary identification of needed information about events and activities which parallel or are otherwise related to those to be measured. This secondary identification is necessary to separate the significance of trends and impacts to be measured from other overall or related trends. These data should be available from the project information system. (See Exhibit 10 for example of evaluation data of a DSO program.)

> Obtaining data from program operations. Next, identified data are actually obtained to measure program processes and outcomes. This information is generally taken from service events, financial records and special sampling efforts as prescribed in the program design.
>
> Analyzing outcomes. This step in the evaluation process most often baffles the layman, primarily due to the use of specialized jargon describing some rather sophisticated mathematical techniques. The analysis reveals the following in comparison with objectives: what was accomplished (performance); what resources were required (effort); what efficiency was achieved (performance reached per effort expended); what effectiveness was achieved (outcomes); what influences contributed to or inhibited achievements (confounding or contributing influences).
>
> Formulating program recommendations. Perhaps the most difficult step in the evaluation process, and certainly the one requiring the utmost objectivity, is the formulation of recommendations regarding a program element or program continuance. These recommendations may be developed to enhance successful programs, revise approaches, scale down approaches, or even terminate programs altogether.[37]

For an example of evaluation forms, refer to a report entitled "The National Evaluation Design for the Deinstitutionalization of Status Offenders Program" developed by the Social Science Research Institute, University of Southern California for the National Institute of Juvenile Justice and Delinquency Prevention.

Program evaluation has two major purposes. The first purpose is to provide quick response data on a regular basis to the program staff and planner to permit a determination of the current effectiveness of each of the major elements of the program. Program evaluation in this respect, therefore, will assist the program staff and planner in monitoring the success of the program's various components on a routine basis.

The second major purpose of program evaluation is to provide a final accounting of the success of the program. If programs are to continue to have support of the local communities, the juvenile justice system and various political leaders, they must be evaluated in terms of their value to society and the agencies involved. Therefore, the evaluation step not only involves regular short-term reporting to the program staff but also detailed regular analytic reports to the agencies funding the program.

Program evaluation is essentially the process of measuring the degree of attainment of previously developed goals and objectives, and concluding with recommendations for redirections of effort. A client flow model should be developed during the program evaluation process. Actual program operations should be measured against the objectives related to specific stopping points and flows in the model. (Refer to Chapter III for detailed discussion on client flow models.)

WHERE CAN THE EVALUATION DATA BE OBTAINED?

Much of the evaluation data needed should be contained in the management and operational records of the program. A well-designed evaluation system is an integral part of the program information system and has information of the following types available to it: basic event data, basic resource data, special target group data, client case record data, test data, data from similar programs, research data, historical data in all of the above categories, and budgetary and fiscal data.

THE PROGRAM EVALUATION REPORT

Upon the completion of the evaluation, a program evaluation report should be developed which should include the following information:

- Revised Problem Statement
    - Background
    - Pertinent data on status offenders
    - Estimated social and economic magnitude
    - Purpose of the evaluation
- Methodology
    - Subjects
    - Instruments
- Results
    - Data and analysis
    - Objective attained
    - Objective not attained
    - Recommended new objectives
- Analysis of Program Constraints
    - Economic
    - Legal/Administrative
    - Other
- Recommended Program Changes
    - Service Delivery
    - Information System
    - Management System
    - Evaluation System

SAMPLE OUTLINE

Exhibit 10

EVALUATION OBJECTIVES OF A STATUS OFFENDER PROGRAM ALTERNATIVE TO INSTITUTIONALIZATION AND APPROPRIATE DATA MEASUREMENTS

OBJECTIVE (1) To determine the extent to which status offenders already in detention and in correctional institutions, as well as those newly defined as status offenders during the life of the program, have been transferred to community-based facilities and programs by ____________ at a cost of $ ________________.
Date

Data required to measure

The following description data should be required for each status offender referred to the program: age, gender, ethnicity, level of education, family composition, residential information, source of referral, type of offense, initial referral, and service information.

OBJECTIVE (2) To determine the progress achieved in the development and utilization of community-based services by ____________ at a cost of $ ________________.
Date

Data required to measure

Seven areas which should be reviewed and their appropriate measurement data are:

(1) Community tolerance for juvenile misbehavior. Measured by:

- Number of complaints to the police and courts made directly by community residents as a ratio of total complaints.
- Number of school expulsions as a ratio, either to all disciplinary cases coming before the school authorities or to school populations, all estimated for a standard time base., e.g., monthly, annually.

Exhibit 10
(Cont.)

- Detention rates as measured by the percentage of status and delinquent offenders detained in a period preceding the establishment of the program for status offenders.

(2) Access to Youth Service Resources.

A status offender program should presumably have established agreement with available local residential and nonresidential resources. To determine the access to these youth service resources, an estimate is required of the capacity of community-based facilities to provide services to status offenders. The estimate for residential facilities may be derived as a ratio of the number of status offenders served during the first pre-program year to the total bedspace available. For nonresidential services the estimate is based on the number of facilities that provide specified services to status offenders as a ratio of the total number of facilities in the program area that provide such services.

(3) Statutory Provisions

Legislation can be accorded a scale position in terms of the least to the most prohibitive regarding deinstitutionalization of status offenders.

(4) Justice System Control of Program

One way of assessing juvenile system control is through an analysis of program staff selected and supervised by a juvenile justice agency and similar measures respecting budgetary control.

(5) Program Control of Client

An appropriate approach to take in determining program control of clients is through interviewing the program director and other appropriate program personnel. Types of questions asked should concern the types of client violations and the sanctions imposed.

(6) Narrative History of Program Development

A narrative log updated monthly and maintained by the evaluators will serve as an accurate documented history of program experience.

Exhibit 10
(Cont.)

(7) Organizational Description

Four types of information should be asked of program participants:

- Patterns of relationships between the program and community-based youth serving agencies.
- Lines of authority and responsibility and the division of labor as formally established at program inception, and parallel information respecting the interorganizational pattern.
- Changes in organizational arrangements, both internal and external to the program.
- Program personnel perceptions of the effectiveness of organizational structure, of lines of communications and influence in decision making, and of patterns of cooperation.

OBJECTIVE (3) To determine the impact of these services on (a) the social adjustment and recidivism of program clients, (b) the acceptance and support of the program by community opinion leaders and personnel of collaborating private and public social service organizations and by the juvenile justice agencies, and (c) the fiscal, organizational, and personnel problems of the juvenile justice system by ______________ at a cost of
$ ____________________
Date

Data required to measure

There are seven client centered data sets to consider. These data sets and their appropriate measurement data are:

(1) Program Entry Identification Items

This data includes information on the client's age, ethnicity, gender, educational level, family composition, residential history, source of referral, type of offense and initial services assigned.

(2) Sociodemographic Items

This data includes information on parents' occupations and level of education.

Exhibit 10
(Cont.)

(3) Program Process Items

This data includes information on the types of programs to which status offenders are referred, the facilities included in each type of program, the kinds of services provided within each facility, length of program participation, and reason for termination.

(4) Program Facility Survey

This data includes the age composition of clientele, sex, and ethnic/racial composition, average length of time in the program, legal status of clientele, history of the facility, service accessibility and criteria for client selection, the time each staff member devoted to various intervention alternatives, the professional level of staff, and the specific services provided by the facility.

(5) Social Adjustment Data

This data includes the results of measuring three various aspects of social adjustment:

- Major dimensions of adolescent self-image relating to delinquency, emotional distress and nonconformity;
- Behavioral and attitudinal items reflecting orientations toward conformity; and
- Attitudes toward law violating behavior.

(6) Self-Reported Delinquency

This data concerns the frequency, seriousness and variety of self-reported acts engaged in by the status offender in the program.

(7) Officially Recorded Offense Data

This data involves all possible information on all offenses prior and subsequent to the first status offense recorded for a subject, during the pre-program month under consideration. This data is recovered from police and court records for each of the several subject populations.

These evaluation objectives and data measurements were developed by the Social Science Research Institute, University of Southern California, for the Deinstitutionalization of Status Offenders Evaluation Project of the National Institute of Juvenile Justice and Delinquency Prevention.

PLANNING STAGE

Program Evaluation

- Task or planning stage which is anticipated to be completed
- Completed task or planning stages
- Indication of when task is going to begin
- Indication of slippage
- Indication of slippage for one month
- Indication that completion date cannot be given

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
o Determine who should perform program evaluation o Conduct the program evaluation												

PLANNING STAGE

Program Evaluation

Tasks and Subtasks	By Whom	Start Date	Completion Date
• Determine who should perform program evaluation			
• Conduct program evaluation			
- Define the problem			
Review rationale for the development of the program			
Define each problem to be resolved for each program element			
- Define outcome objectives			
Develop measurable objectives for each problem definition			
- Define data required to assess outcome			
- Obtain data from program operations			
- Analyze outcomes			
- Formulate program recommendations			

FOOTNOTES

[1] National Council on Crime and Delinquency, Standards and Guides for the Detention of Children and Youth, (2nd edition; New York: National Probation and Parole Association, 1958). p. 29.

[2] Ibid., p. 29.

[3] Ibid., p. 29.

APPENDIX A

DEFINITION OF TERMS*

A. Definitions Relating to Par. 52. Requirements for Participation in Funding Under the Juvenile Justice and Delinquency Prevention Act of 1974.

1. Juvenile Offender: an individual subject to the exercise of juvenile court jurisdiction for purposes of adjudication and treatment based on age and offense limitations as defined by state law.

2. Criminal-type Offender: a juvenile who has been charged with or adjudicated for conduct which would, under the law of the jurisdiction in which the offense was committed, be a crime if committed by an adult.

3. Status Offender: a juvenile who has been charged with or adjudicated for conduct which would not, under the law of the jurisdiction in which the offense was committed, be a crime if committed by an adult.

4. Non-offender: a juvenile who is subject to the jurisdiction of the juvenile court, usually under abuse, dependency, or neglect statutes for reasons other than legally prohibited conduct of the juvenile.

5. Accused Juvenile Offender: a juvenile with respect to whom a petition has been filed in the juvenile court alleging that such juvenile is a criminal-type offender or is a status offender and no final adjudication has been made by the juvenile court.

6. Adjudicated Juvenile Offender: a juvenile with respect to whom the juvenile court has determined that such juvenile is a criminal-type offender or is a status offender.

7. Facility: a place, an institution, a building or part thereof, set of buildings or an area whether or not enclosing a building or set of buildings which is used for the lawful custody and treatment of juveniles and may be owned and/or operated by public or private agencies.

8. Facility, Secure: one which is designed and operated so as to ensure that all entrances and exits from such facility are under the exclusive control of the staff of such facility, whether or not the person being detained has freedom of movement within the perimeters of the facility or which relies on locked rooms and buildings, fences, or physical restraint in order to control behavior of its residents.

*These definitions relate to the special requirements for participating in funding under the JJDP Act. These definitions are part of the LEAA State Planning Agency Grants Guideline M4100.IF CHG-3 and are essential to the planner as a guide to the available options a state has for placing status offenders in a facility.

9. Facility, Non-secure: a facility not characterized by the use of physically restricting construction, hardware, and procedures and which provides its residents access to the surrounding community with minimal supervision.

10. Community-based Facility, Program, or Service: A small, open group home or other suitable place located near the juvenile's home or family, and programs of community supervision and service which maintain community and consumer participation in the planning, operation and evaluation of their programs which may include, but are not limited to, medical, educational, vocational, social, and psychological guidance, training, counseling, alcoholism treatment, drug treatment, and other rehabilitative services. This definition is from Section 103(1) of the JJDP Act. For purposes of clarification the following is being provided:

    a. Small: bed capacity of 40 or less.

    b. Near: in reasonable proximity to the juvenile's family and home community which allows a child to maintain family and community contact.

    c. Consumer Participation: facility policy and practice facilitates the involvement of program participants in planning, problem solving, and decision making related to the program as it affects them.

    d. Community Participation: facility policy and practice facilitates the involvement of citizens as volunteers, advisors, or direct service providers; and provide for opportunities for communication with neighborhood and other community groups.

11. Lawful Custody: the exercise of care, supervision and control over a juvenile offender or non-offender pursuant to the provisions of the law or of a judicial order or decree.

12. Exclusively: as used to describe the population of a facility, the term "exclusively" means that the facility is used only for a specifically described category of juvenile to the exclusion of all other types of juveniles.

13. Criminal Offender: an individual, adult or juvenile, who has been charged with or convicted of a criminal offense in a court exercising the criminal jurisdiction.

14. Bed Capacity: the maximum population which has been set for day-to-day population and, typically, is the result of administrative policy, licensing or life safety inspection, court order, or legislative restriction.

APPENDIX B

- Task or planning stage which is anticipated to be completed
- Completed task or planning stages
- Indication of when task is going to begin
- Indication of slippage
- Indication of slippage for one month
- Indication that completion date cannot be given

PLANNING STAGE

MILESTONES	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE

APPENDIX C

ACTIVITY SHEET

PLANNING STAGE

Tasks and Subtasks	By Whom	Start Date	Complet Dat

APPENDIX D

NARRATIVE DISCUSSION OF THE OFFENDER AND PROGRAM CHARACTERISTIC INSTRUMENT

Instrument I is structured so that it can be used for the summarization of data on accused or adjudicated status or criminal-type offenders. The top left section of this instrument indicates the type of referral and the appropriate status. Both of these data elements must be filled in by the planner.

Any number of characteristics can be attached to this data instrument. An example of various characteristics that could be collected are included in Exhibits A through H. The planner should review these Exhibits to determine if the data to be collected are attainable and are appropriate to the specific needs of the region or state.

The data collected will provide the following type of information:

- Information useful in the design of various elements of programs developed as alternatives to institutionalization.
- Information useful in determining possible impact of the removal of the status offender from the detention and correctional facilities on the rest of the juvenile justice system (e.g., how should resources be re-allocated if over fifty percent of the detention/jail population are status offenders) (Exhibit F).
- Information useful in determining the court's treatment philosophy between the status offender and the criminal-type offender. For example, the number of status offenders who, at the time of disposition, were placed in institutions, should be compared with the number of criminal-type offenders. If there are more or as many status offenders placed in institutions as there are criminal-type offenders then the planner and steering committee will know what the court's philosophy is (Exhibit H).
- Information useful in designing the referral system for programs developed as alternatives to institutionalization (Exhibit G).
- Information useful in determining if inequities exist in the detention of youth by race, sex, age, and offense. The number of youth apprehended should be compared with the number of youth detained in order to get a detention rate. The detention rates should then be compared by each of the above mentioned variables. Identifying inequities in treatment can be helpful in program planning (e.g., if there is a greater percentage of females being detained it may be indicative of low community tolerance for females acting out.)

Exhibit (A)

AGE AT LAST BIRTHDAY

10 years or less
11
12
13
14
15
16
17
18

Exhibit (B)

RACE/ETHNICITY

Black
Mexican-American __________
Puerto Rican __________
Other Hispanic-Latin Culture __________
Asian or Asian Pacific __________
Other (specify) __________
____

____

Exhibit (C)

Customary Residential Setting

- Nuclear Family (Both Natural or Adoptive Parents)
- Reconstituted Family:
  - Natural Father and "Spouse"
  - Natural Mother and "Spouse"
- Mother Only
- Father Only
- Other Relative
- Extended Family
- Foster Home
- Independent (Alone)
- Independent With Spouse
- Independent With Spouse in Home of Relatives
- Institutional:
  - Group Home (30 days or more):
    - 10 Residents or less
    - 11 Residents or more
  - Shelter Home (less than 30 days):
    - 10 Residents or less
    - 11 Residents or more

Exhibit (D)

School Situation at time of Referral

School Status

Attends Full-Time

Attends Part-Time

Voluntary Withdrawal

Temporary Suspension

Permanent Expulsion

High School Diploma

Other (specify)

____

Last Grade Completed

Fourth or below

Fifth

Sixth

Seventh

Eighth

Ninth

Tenth

Eleventh

Twelfth

Exhibit (E)

Geographic Setting

Urban
Neighborhood (specify) __________

Suburban
Neighborhood (specify) __________

Rural

Exhibit (F)

Most Serious Charge at Referral

*Criminal-type __________

Offenses Against Person __________

Offenses Against Property __________

Other __________

Status Offense

Curfew __________

Runaway __________

Truancy __________

Minor in Possession of Alcohol __________

Traffic Offense __________

Other __________

*The planner and steering committee may want to be more specific under this heading, e.g., robbery, burglary.

Exhibit (G)

Source of Referral to Court

- Self
- Parents/Guardian
- School Authorities
- Youth Service Agency
- Police
- Name ____________________

  ____
- Other (specify) ______

  ____

Exhibit (H)

Most Serious Charge at Disposition

- *Criminal-type
  - Offenses Against Person
  - Offenses Against Property
- Status Offense
  - Curfew
  - Runaway
  - Truancy
  - Minor in Possession of Alcohol
  - Ungovernable
  - Dependency and Neglect
  - Other
- Traffic
- Other

*The planner and steering committee may want to be more specific under this heading, e.g., robbery, burglary.

DATA SHEET I

The number of youth referred to
(name of juvenile justice agency) during (time period) for (type of referral),
by pre-disposition detention status, disposition outcome,
post-disposition placement, sex, and
(fill in appropriate youth characteristic)

*Type of referral (fill in, e.g., status offender, dependent, neglected, criminal-type ______________________

*Status of referral (fill in, e.g., accused, diverted, adjudicated, released) ______________________

Possible Placements	Detention Facilities		Jails		Institutions		Community Based Residential		Community Based Non-Residential		Out-of-State Non-Residential		Released		Other	
Cost per child per day																
Sex	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Youth Characteristic Variables																
10 years or less																
11																
12																
13																
14																
15																
16																
17																
18																

*This sheet is designed so that it can be used for any population, e.g., the accused status offender or the adjudicated status offender. The planner/steering committee needs only to designate (next to the type of referral and status of referral) which population the instrument should be collecting data on.

DATA SHEET II

Five Year Trend Analysis of All Youth Referred to the Court

TOTAL	Total	1973	1974	1975	1976	1977
	No. %	No. %	No. %	No. %	No. %	No. %
	___(100)	___(100)	___(100)	___(100)	___(100)	___(100)
	M F M F	M F M F	M F M F	M F M F	M F M F	M F M F
Accused Status Offender						
Adjudicated Status Offender						
Accused Criminal Type						
Adjudicated Criminal-Type						
Other						
Percentage Variance						
Between Year						

This data will provide insight into the possible future caseload of the community based alternatives to institutionalization. There is a possible problem in using this kind of trend analysis due to the practice of labeling a youth who committed a criminal act as a status offender.

This data may also provide insight into whether plea bargaining is occurring (accused data and adjudication data will have to be compared). For example, if there are more youths accused as status offenders at the time of adjudication than there are at time of court intake, then that may indicate that plea bargaining is occuring.

DATA SHEET III

LENGTH OF STAY BY REASON OF DETENTION

(Form to be used in jails, detention facilities and any other facilities holding youth)

____
Year

MOST SERIOUS CHARGE AT TIME OF DETENTION	TOTAL	Less than 24 Hours	1-3 Days	4-6 Days	7-10 Days	11-20 Days	21-60 Days	2-4 Months	MORE THAN 4 Months
	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$	$\frac{No}{\_\_\_} \uparrow \overset{\%}{(100)}$
TOTAL	MF MF	MF MF	MF MF	MF MF	MF MF	MF MF	MF MF	MF MF	MF MF
Offenses Against Person									
Offenses Against Property									
Curfew									
Runaway									
Truancy									
Minor in Possession of Alcohol									
Ungovernable									
Traffic Violations									
Dependency and Neglect									
Other									
TOTAL									

This data will provide information on: 1) intake practices and court processing, and 2) if status offenders are being detained in a different manner than the criminal-type offender.

It should be noted that the National Council on Crime and Delinquency (NCCD) contends that if youth are released after overnight or two-to-three day detentions, it usually means that court intake practices should be revised and that there is a lack of thorough social investigation by the probation department. Furthermore, NCCD says that the constant daily flow of youth in and out of the detention facility tends to disrupt the program for those whose stay is longer.[1]

NCCD also contends that "Youth who stay in detention beyond three weeks usually deteriorate in morale, and lose whatever gains they may have made. This makes it difficult for youth detained for the usual period to derive full value from the detention facility program."[2] NCCD attributes long stays to "lack of sufficient probation or clerical staff, infrequency of court hearings, or a backlog of court cases. More often it is caused by conditions beyond the control of the court, e.g., lack of appropriate placement resources, overcrowded state training schools and other places of commitment."[3] Long stays also contribute most to overcrowding and are extremely expensive.

DATA SHEET IV

Frequency of Total Daily Population

(Data should be collected separately reflecting the daily population of the correctional and detention facilities)

____
Year

Daily Population of Youth	Number of Days Occuring	Percentage
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
etc.		
Average Daily Population		

This data will reflect if the detention or correctional facilities are overcrowded. If they are overcrowded and if the court need more secure placements for the criminal-type offender, then the planner and steering committee could use these data to increase the court's support for DSO. (A frequency distribution of the number of status offenders versus criminal-type offenders would have to be performed).

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